A Report on

AMERICAN UNIVERSITY PRESSES

By Chester Kerr

BASED ON A SURVEY SPONSORED BY THE
AMERICAN COUNCIL OF LEARNED SOCIETIES
WITH A GRANT FROM
THE ROCKEFELLER FOUNDATION

1949

The Association of American
University Presses

A Report on
American University
Presses

A limited supply of copies of this report
for free distribution is available from

American Council of Learned Societies
1219 Sixteenth Street, N.W.
Washington, D.C.

Printed in the United States of America

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I. This Report

"To organize facts required in many places and project them so that they resemble life is a difficult art. Anyone who had seen the Battle of Waterloo...would never forget it, nor let anyone else do so. But transferred to the page...the event flattens out like a neglected soufflé; while to the onlookers it seems that there are so many of these featureless facts in a heap that no sane man would start rummaging among them."--Jacques Barzun

THIS REPORT contains the results of a survey of American university presses conducted from April 1, 1948, through March 31, 1949, by the Association of American University Presses, under the sponsorship of the American Council of Learned Societies with a grant from The Rockefeller Foundation.

The Survey itself was conceived at the annual meeting of the Association held at Princeton, New Jersey, in January, 1947. Its purposes and plan of action were developed subsequently in correspondence and discussion among officers and members of the Association and the Council. The study was finally launched with the following statement of objectives:

1. To investigate, and describe in detail, organization and operating procedure in university press publishing;

2. To evaluate, and report on, the relationship of university press publishing to education, to scholarship, and to American publishing in general;

3. To arrive at conclusions and make recommendations.

Nothing startling or sensational was expected of the study by the sponsors; it was felt that the history of American university press publishing had reached a point where it would be

useful to society, the university, the press, the scholar, to assemble the facts and the figures, preferably with some degree of objectivity, to see what improvements should or could be made.

The material for the report was accumulated by the collection of new data (questionnaires, correspondence, and interviews), by an examination of the records of the past, and by first-hand observation. Questionnaire replies were checked with care and supplemented by interviews and correspondence. There proved to be a surprisingly large body of literature on the subject, attributable in part to an increasing public interest in recent years and in part to the number of able university press men and women who have recorded in articles, learned papers, and private memoranda their experiences and opinions. To acquire perspective and to gather further material at first hand, the Director of the Survey visited more than thirty university presses during the autumn of 1948. He talked not only with the heads of these presses and members of their staffs but with faculty committees and responsible members of the university administrations concerned, including the presidents or chancellors of twenty-two parent institutions.

At the outset of the Survey, it was determined to the satisfaction of the Director that in most respects the study could be limited to the thirty-five presses making up the membership of the Association of American University Presses. It was true that research had revealed over a hundred instances of the use of university and college press imprints in America during the past eighty years. But closer inspection made plain that the bulk of American university press publication undertaken during the period of the Survey was handled by these thirty-five presses, that almost every conceivable kind and size of university press activity could be found among these particular presses, and that university press activity outside the ranks of the Association would not alter materially the results of the study. This report will therefore concern itself primarily with the thirty-five presses referred to as "members of the Association."

The roster of full members at the time of the Survey included:

University of California Press
Catholic University of America Press
University of Chicago Press
Columbia University Press
Cornell University Press

Duke University Press
Fordham University Press
University of Georgia Press
Harvard University Press
University of Illinois Press
Iowa State College Press
Johns Hopkins Press
University of Kansas Press
University of Kentucky Press
Louisiana State University Press
Loyola University Press
University of Michigan Press
University of Minnesota Press
University of Nebraska Press
University of New Mexico Press
New York University Press
University of North Carolina Press
University of Oklahoma Press
University of Pennsylvania Press
University of Pittsburgh Press
Princeton University Press
Rutgers University Press
University of South Carolina Press
Stanford University Press
Syracuse University Press
University of Toronto Press
University Press in Dallas (Southern Methodist University)
University of Washington Press
University of Wisconsin Press
Yale University Press

In addition to these thirty-five presses, three other organizations were affiliated members of the Association at the time of the Survey: Cambridge University Press (New York), Huntington Library Publications (a division of the Henry E. Huntington Library and Art Gallery, San Marino, California), and Oxford University Press (New York), all of whose interests were, in the opinion of the Association, closely connected with the work of university presses. It was decided, however, not to include in the study any detailed consideration of these organizations.

It was not felt proper to omit from the study the Canadian member of the Association, the University of Toronto Press. In this connection, it will be noticed that the example of the

Association in regard to the term "American" has been followed throughout this report; that is, the term has been used in most instances in the continental sense and not merely to refer to the United States.

The term "Survey Year" will be used to refer to data gathered on the following basis: each press was asked to submit certain data based on the latest fiscal year of that press ending prior to July 1, 1948. The data submitted by twenty-eight members of the group were based on the fiscal year ending June 30, 1948; by four other presses, on a year ending December 31, 1947; and by the remaining three, June 30, 1947, July 31, 1947, and August 31, 1947, respectively.

To these words of explanation may now be added some of caution—or of fuller explanation:

1. Not only was there found a considerable diversity of activity among the thirty-five presses studied but also the Survey Year found them in various stages of development.

2. This report is not a critique of the merits and shortcomings of individual presses.

3. Some of the older and larger presses will find much in these pages that is entirely familiar to them, while some of the newer and smaller organizations will find much that is beyond their present needs.

4. Geoffrey Gorer, the British anthropologist, recently detected in America a widespread failure to remember the old dictum about one man's meat and attributed this failure to a democratic fallacy which he calls Justification by Numbers: "If a few people do or think something, it may be wrong; but if a lot of people do or think it, then it is obviously right."

5. The men and women who have devoted many years of effort and thought to this field can speak most authoritatively, and there will be found in the report a liberal, yet selective, use of their words.

6. Finally, certain results of the Survey may not be so tangible as these pages. One was the very existence of the Survey, which inevitably focused considerable attention on university presses, their attainments and their problems. Secondly, the very fact of a visit from the Director of the Survey apparently in many instances provoked attention to or provided clarification of local conditions.

Certainly no such study could have been conducted without the whole-hearted cooperation of the presses concerned, and the writer wishes to acknowledge the extent of that cooperation. In most cases, it was instantaneous; in all, it was full. The doors and the files were opened wide and no significant information was withheld, except when lack of adequate records or personnel made it difficult or impossible to comply with requests within the time allotted. As will be seen, these latter circumstances prevented the presentation of complete data from all thirty-five presses on some topics treated in this report, but again and again complete cooperation made possible the use of material based on one hundred per cent returns.

It should also be acknowledged that during the course of the inquiry, the Director had the advantage of frequent consultation with leading representatives of the Association of American University Presses and the American Council of Learned Societies: namely, Datus C. Smith, Jr., President of the Association and Director of the Princeton University Press; Savoie Lottinville, Vice-President of the Association and Director of the University of Oklahoma Press; Wm. Warren Smith, Jr., Secretary-Treasurer of the Association and Business Manager of the Harvard University Press; Rollin D. Hemens, former president of the Association and Assistant Director of The University of Chicago Press; Porter Cowles, Member-at-Large of the Association's Executive Committee and now Assistant Director of The University of North Carolina Press; and Donald Goodchild, Secretary for Fellowships and Grants of the American Council of Learned Societies.

Without in any way holding this group responsible for the contents of this report, for which the writer alone must bear responsibility, it should be added that no such report could have been made had it not been for their constant and helpful attention to the problems of the Survey on which it was based.

Nor could the Survey have existed in the first place had it not been for the warm interest in university press affairs of David H. Stevens, Director for the Humanities of The Rockefeller Foundation.

Special consultants were used in connection with several aspects of the study. Partners of W. C. Heaton and Company, certified public accountants, contributed the report on university press accounting practices and problems which will be found in Chapter XIII, as well as other advice and assistance.

The firm of Stanley B. Hunt Associates, and in particular Mr. Hunt himself, provided the report and analysis of operating figures of twenty-two presses in Chapter XIV, in addition to other guidance and help.

In addition to contributing the appended study of newer methods of non-letterpress printing, Henry M. Silver, former head of the King's Crown Press and now Staff Adviser on Publications of the American Council of Learned Societies, was generous with constructive comment on a number of occasions.

During the early months of the Survey, the Director had the benefit of the opinions of John Brett-Smith of the Oxford University Press (London), who was on a tour of inspection among American university presses and who is preparing a report which should prove of value to them.

The project was directed from offices in New York provided through an amicable and convenient arrangement with the American Book Publishers Council, first under its managing director, Harry F. West, and then his successor, Donald S. Cameron. Other groups which provided assistance were the American Textbook Publishers Institute, the American Booksellers Association, and the American Library Association.

The arduous labors of searching, collating, tabulating, and checking were performed by Marjorie Scher, always calmly, always efficiently, always effectively. Marion White Southworth handled creditably, as would be expected, a specialized piece of research in Washington, D.C.

It will be the scheme of this report in succeeding chapters first to define what may well be the undefinable; then to relate certain experiences of the past which may pertain to problems of the present; then to set down a broad account of American university presses today; to follow that with a detailed analysis, function by function, of the organization and operations of the presses under scrutiny; to examine their sources of support; to comment on cooperation among presses and what is involved in launching a press; and finally, to record observations and opinions not included in the body of the report.

II. What Is a University Press?

"It was six men of Indostan
To learning much inclined,
Who went to see the Elephant
(Though all of them were blind),
That each by observation
Might satisfy his mind."

--The Blind Men and the Elephant

IF THESE SAME sightless men of Indostan were to journey to America today to satisfy their minds about the University Press, their experiences might again mislead them. It will be remembered how, in the John Godfrey Saxe poem, partial evidence led each to claim in turn that the Elephant was very like a wall, a spear, a snake, a tree, a fan, and, finally, a rope. So might these same observers pronounce the contemporary American University Press to be very like a trade publishing house, a textbook firm, a scholarly print shop, a learned journal, a service bureau, and, finally, a department of a university.

But then it would have to be said, as Mr. Saxe said of his disputants, that "each was partly in the right, and all were in the wrong." For, as any observer of the contemporary American University Press, even one who keeps his eyes open, soon realizes, grasping only part of this animal can lead also to disastrously false conclusions.

The managing heads of the thirty-five presses under study were asked to describe the purpose, not necessarily of their own presses, but of a university press. The essence of all thirty-five of their replies is reported here. No significance whatever should be attached to the order in which they are presented, except that a mild and generally unsuccessful

attempt was made to group them according to viewpoints (theirs):

1. To extend the University's teaching and research beyond the classroom, the laboratory, and the professor's study thus fulfilling the function of a university in a democracy—the widest possible dissemination of tested knowledge.

2. To publish books that in their content and presentation contribute to an understanding of human affairs whether in the arts or the sciences.

3. To make the results of scholarship known and readily usable through books, and in doing so to use criteria of social utility as the guide for its actions.

4. To publish books in all fields of learning that seem to make a contribution to the sum of knowledge and experience; in this sense, the books of a university press are a direct reflection of the scholarly worth of the institution it serves; and if that institution maintains an attitude of unimpeachable intellectual integrity in its teaching and its research the university press can—and must—channel this attitude into outlets of creative expression.

5. To satisfy the institution's responsibility for distributing the record of the scholarship created as a result of the institution's regular program in ways that are most useful to scholars of the community, most valuable for the good will of the institution, and at the lowest possible cost.

6. To assist in the dissemination of knowledge, not only among scholars but also among all educated people.

7. To disseminate knowledge and present scholarship in terms understandable to, and interesting for, the educated lay reader.

8. To publish the results of scholarly research by 1) the publication of monographic material, which is essentially the making available of scholar's laboratory notes to other scholars and 2) the publication of books for the general reader which interpret in a less technical way the same material.

9. To publish the results of research of its own faculty; to publish the results of research generally; to publish the interpretation of research for the intelligent lay public; and

thus to aid in the advancement of learning which in turn will promote the orderly progress of civilization.

10. To publish, sell, and distribute books, pamphlets, and journals which make available to scholars or interpret for intelligent laymen the findings of capable, useful scholarship.

11. To publish and distribute economically and effectively the book-length scholarly work of first-class quality produced by members of the Faculty of the University in question; to publish in the same way the work of other scholars, particularly those connected with institutions of the same region which do not have Presses of their own or those working in fields in which we have already established worthwhile lists; to publish non-fiction books based on scholarly research but at the same time having an appeal to the general public; to publish experimental textbooks which may be too unusual for the commercial publisher; to issue the learned journals produced in the University which may be turned over to the Press for publication.

12. The advancement of knowledge.

13. To promote the advancement of learning through the publication of significant scholarly works for which there is a definite need.

14. To publish periodicals devoted to the advancement of learning and produced at the University by or under the direction of the faculty of that University; to publish catalogues, bulletins and other documents pertaining to that University or to any department thereof; to promote generally, by publishing deserving works, the advancement of arts and sciences, and the development of literature.

15. To further the two primary functions of all universities—instruction on the collegiate, professional, and graduate levels and the extension of knowledge through research.

16. To see that no meritorious scholarly work goes unpublished.

17. To provide a medium through books, pamphlets, and journals for the publication of results of research in all branches of learning.

18. To make available in appropriate form the results of scholarly investigation.

19. To serve as the publishing arm of the university to which it is attached; to provide a tangible means of stimulating research and scholarly publication in the university; to afford both the stimulus and the vehicle for regional exploration and writing; to represent the university to its constituents, both scholarly and lay, wherever they may be in the world; to develop pre-eminently, if it may, at least one field of learning, and to offer as much as it can to the advancement of learning.

20. To carry the work of the university beyond the confines of the campus, both to the specialist and to the general public; to publish meritorious books, from whatever source, which meet the standards of the university: books on any subject and by any hand which contribute to knowledge, understanding, skill, or "the pursuit of happiness"; to interpret the region to its own people and to the world at large, and to stimulate interest in and writing about the region.

21. To publish books which represent distinct contributions to knowledge but which hold limited possibilities of financial returns; to keep alive regional culture and regional points of view, thereby counteracting the strong tendencies toward standardization of American life inherent in the geographical concentration of commercial publishers; to stimulate scholarship by providing for it a responsive and responsible outlet; to foster and publish studies of state and regional and national problems; to preserve and disseminate historical material of value.

22. To promote the writing and publication of scholarly and creative books that are a contribution to knowledge and to the literature of the region served by the press; to serve as a stimulus to faculty research and writing on significant subjects and as a publication medium for the worth-while writings of the faculty; to enliven the minds of the faculty and encourage faculty research, and to seek out good books, particularly pertaining to the press's region, from other scholars and laymen; to undertake publishing that needs to be done that commercial presses cannot or will not do, or that the university press can do better.

23. To encourage scholarship in the region served by its university, and understanding of the region both within

and beyond its borders, by serving as a center for the publication of scholarly and regional books and periodicals.

24. To serve the University.

25. To produce works of merit in the fields stressed by its institution.

26. To make more widely available results of the research and the creative thought of its university and in so doing strive to encourage and stimulate this type of scholarship over a wider area and to a greater extent than would be practical for a commercial publisher.

27. To project the research and interpretive knowledge of the University to the reading audience; to stimulate and encourage the research, scholarly interpretation, and writing of the campus; to make available in book form scholarly and research knowledge from whatever source; to be one of the service media through which the University informs its state or other audience.

28. To publish books and other materials in keeping with the university's interest.

29. To publish books of scholarly or scientific importance, both for their intrinsic value and for the favorable publicity accruing to the University as a result of such publication.

30. To publish and sell readable manuscripts on scholarly subjects submitted from within or without the university.

31. To be socially useful in contributing to the advance and dissemination of knowledge; to contribute to the usefulness of the University itself as well as, incidentally, its prestige.

32. To publish material which will add to the prestige of the University which it serves.

33. To stimulate the preparation of books that will add prestige to the University, give it favorable publicity, or secure a profit.

34. To cooperate with the University in purveying a rationally consistent view of man's function and way of life in the present world.

35. To enable staff members of the university to publish works with complete freedom from dictation on the part of

commercial publishers; to make possible the publication of learned works that commercial publishers would not accept; to make possible speedier publication; to have on hand the campus experts who can assist and guide editors; to facilitate through its own plant or its contacts, the handling of difficult composition in mathematics, languages, and the sciences.

Several managers, it can be readily seen, avoided, intentionally or otherwise, the abstract nature of the question by replying with descriptions of the purposes of their particular presses. Others offered descriptions of means, as well as purposes. Some were very specific, while others, like the hunters in Peter and the Wolf, came out shooting in all directions. Most were high-minded. Above all, there was a striking amount of fundamental agreement, despite the apparent variances and despite actual differences of size, scope, and method among the presses in question.

It may be judged from the definitions given here that the primary beneficiaries of the purposes of a university press are: the scholar, who as a reader may learn what other scholars have learned and as writer may impart what he has learned; the educated layman, who may learn more about the world in which he lives; and the university, which in another way may claim to have served its civilization. The benefit to society at large was implicit in many replies and spelled out in some.

In 1914 there was placed before a meeting of the Association of American Universities a definition of the function of a university press which, many feel, has satisfactorily met the test of time. The speaker was George Parmly Day, then Treasurer of Yale University and President of its Press: "The function of a university press cannot properly be described as either printing or publishing for the benefit of its own university... but as something more than either of these activities, or indeed of both combined. The function of a university press in fact is nothing less than to render distinct service to the world in general, through the medium of printing or publishing or both, and in such ways to supplement the work of education which commands the devotion of the university whose name the press bears."

Twenty years later, in 1934, the Association listened to an address by another press director, this time W. T. Couch of the University of North Carolina. In deploring the extent to

which, in his opinion, modern scholarship had become departmentalized and ossified, and in calling for some order and proportion to be created among the various fields of knowledge, Mr. Couch offered the university press as a means to this end, an agency ideally suited to this purpose. "Through the medium of scholarly periodicals and books it [the university press] can assist the various disciplines to use their tools and carry their work as far as it can go; and, equally important, it can encourage the writing of books that cut across the various fields of knowledge and make channels for communication between the now tightly separated departments."

Respectful attention may also be given to the words of Geoffrey Cumberlege, Publisher to the University at Oxford, and spokesman for the oldest university press in the English-speaking world. Mr. Cumberlege in 1946 gave this reply to his own inquiry into the task of a university press: "I should say it is to conserve what is best in the literature of all nations; to produce the best scholarship in all fields; to distinguish between the ripples and waves of popular taste; and to discern what is lasting. Like good men, good publishers should know that the fashions of this world pass rapidly away, and they must needs occupy themselves—somewhat, at least—with the abiding."

The university press publisher has often been contrasted with the commercial publisher in an effort to make more plain the role of the former. Earl Schenck Miers, Manager of Rutgers University Press, put it this way in 1941: "While the commercial publisher is looking for a book that will sell, the institutional publisher seeks first of all a book that will endure and which may, in the long run, influence the course of human affairs." The absence of profit-motive was also reflected in the remark made by the Director of the Harvard University Press, Thomas J. Wilson, in 1947: "The university press publisher has as his objective the publication of the maximum number of good books this side of bankruptcy."

Finally, the functions of a press were summed up recently by Rollin D. Hemens, Assistant Director of The University of Chicago Press and an observer with over a quarter-century of experience in this field: "Some persons think of it as principally a publicity agency for the university; some believe that it should publish books to be distributed free by the author or by the college library; others feel that it should issue the writing of any faculty member provided he pays the cost of publication. This may be so. But it is my belief that the first

responsibility of a university press is publication of scholarly writing for the advancement of scholarship...This publication would include books and magazines and textbooks as well as monographs. A further function would be the publication of books of inherent excellence which present the findings and thoughts of scholars for the education of the lay, or nonprofessional reader. Another objective would be the maintenace of an attitude of experimentation and exploration in order that the presses may advance the frontiers of publishing as the scientists advance those of learning."

It would be tidy and convenient if it were possible to draw from the foregoing pages, and from the writer's independent observations in the field, a composite reply to the question posed in the title of this chapter. But while large or small, African or Indian, an Elephant resembles an elephant, a University Press does not always resemble a university press. To paste up a composite picture of the latter would only produce a creature that does not really exist.

Nor can it be reasonably claimed that among the thirty-five presses studied are several so "successful" or "important" or "large" that they can safely be regarded as models, thus making it possible to produce a definitive portrait of a university press from consideration of one or more of these particular presses. Size, or an ability to become self-supporting, or the noise that can be made in the publishing world, are not the only criteria, nor even the most valid, by which to judge a university press. University presses exist today in a variety of sizes and shapes, of abilities and purposes. Most of those in the group under consideration have certain fundamental aims in common and all of them serve valid purposes. What remains to be determined from the material in the remainder of this report is how well these presses serve these purposes under present-day conditions.

But first, it will be well to examine the record of university press publishing in America from its beginnings, to see what lessons may be contained in the past.

III. The First Eighty Years

"It is one of the noblest duties of a University to advance knowledge, and to diffuse it not merely among those who can attend the daily lectures...but far and wide."--Daniel Coit Gilman

The first president of the new university at Baltimore was not alone in endorsing the function of publication at an educational institution. Andrew D. White of Cornell, William Rainey Harper of Chicago, and Seth Low of Columbia also lent active support to university publishing endeavors in the latter part of the 19th century. The university presses which developed from this early encouragement became the forerunners of a significant new movement in American academic and publishing history.

This chapter is intended as a brief resume of the history of this movement from its beginnings in 1869 down to the Survey Year, principally in terms of the origins and growth of the thirty-five presses under study and of the trends and lessons discernible in these developments.

University publishing in America had both English and German antecedents. Thomas Rood was printing at Oxford as early as 1478, while John Siberch, the friend of Erasmus, put out a book at Cambridge in 1521, but it was not until the 1580's that presses were officially established at these seats of learning. During the 17th century there was increased printing activity at both universities and with the granting of the Bible and prayer-book privileges toward the end of the century,[1]

1. This monopoly was granted by royal charter, a masterful stroke which at once provided these two presses with the greatest university press subvention of all time. How great may be judged by the fact that when Oxford

both presses may be said to have embarked on their modern publishing history. This history was to become a long and honorable one, replete with such memorable contributions as the Oxford English Dictionary and the Cambridge histories, and to serve as a constant source of inspiration to American university publishers.

The German influence made itself felt not through the example of any university presses (commercial publishing in Germany appears to have been so specialized that no need was ever felt for university presses) but at the level of the university itself. When White and his followers grafted the German concept onto the university tradition previously imported and developed in this country, they not only produced a new kind of American university but a new need for scholarly publishing facilities. The shift in emphasis to graduate studies produced new modes of research and the results of this research needed new outlets.

Other factors which played their part, directly or indirectly, in producing the first real need for university presses on the new continent were the secularization of American education, the university extension movement, which had its start at Chicago and Columbia, and the Americanization of letters and of scientific inquiry.

A number of American universities engaged in printing, and even some abortive publishing, during the 19th century, but the earliest use of the term "university press," according to Robert Frederick Lane, was at Cornell under a date of 1869. Although President White is held to have had the Oxford and Cambridge models in mind and to have regarded the establishment of the Cornell University Press as being necessary to the proper advancement of learning, he apparently saw fit to present it to his board of trustees as a project designed primarily to provide students of journalism with a workshop and the university with reduced printing costs. Thus it was judged--and, unfortunately, found wanting, for it was discontinued in 1884.

Another venture started about 1870 also proved unsuccessful. In Philadelphia a group of alumni, friends, and officers of the University of Pennsylvania banded together to form an

published the Revised New Testament in 1881, a run on their warehouse resulted in the sale of over a million copies within twenty-four hours, a record never challenged by an American university press, nor likely to be.

organization called the University Press Company, primarily, it seems for purposes of publishing a literary magazine. In 1890, the University of Pennsylvania Press was incorporated and according to its articles had book as well as periodical publishing in mind. The original capital of $60,000 was subscribed from within and without the university but was apparently not sufficient and the organization failed within ten years.

White's friend Gilman had better luck at Johns Hopkins with the establishment of a publication agency to handle such scholarly publications as the American Journal of Mathematics and the American Chemical Journal, founded in 1878 and 1879 respectively. The quality of these and other early products insured its success. Initial responsibility for this agency lay with the university's library committee and management with the librarian, one Nicholas Murray, uncle of the future president of Columbia.

In 1890 The Johns Hopkins Press was formally established in name and before long the ranks of pioneers were swelled by presses established at Chicago and Columbia. President Harper's plan of organization for the university founded at Chicago in 1890 clearly provided for a press and two years later a private corporation was formed jointly with the D. C. Heath and Company of Boston. This beginning was not entirely successful for various reasons, including a serious deficit and the inconvenience of a downtown printing plant. Consequently in 1894 the manufacturing equipment was moved to the campus, the relationship with Heath was abandoned, and the organization became a division of the university charged with printing, publishing, and the operation of a bookstore. A series of directors struggled with the baffling problems which later came to be described as inherent in scholarly publishing. Headway was made, however, slowly but certainly. Newman Miller, who was to guide the press until 1919, became director in 1900.[2] A generous gift from John D. Rockefeller provided the press with its own building[2] in 1902. The following year, the board of trustees showed commendable wisdom in providing the press with a capital sum of $140,000, together with a plan for an annual deficiency subsidy for publishing expenses

2. Which proved to be too large for the needs of the young press, an unfortunate circumstance since the other university operations which moved in did not leave until forty-six years later, in 1948, by which time the space problems of the press had become acute, to phrase it mildly.

and an annual appropriation designed to support the journals.

Meantime in New York City, Nicholas Murray Butler, then professor of philosophy, wrote a proposal in 1889 for the establishment of a department of publication at Columbia College. President Low pursued the matter with the trustees, but other affairs intervened, including the proposal to convert the institution into a university, and by the time the appropriate number of committees had taken the matter under advisement, the blueprint had been substantially altered to provide for a separate corporation to be known as the Columbia University Press. This was approved by the trustees in 1893 and the certificate filed that same year. The objectives of the new enterprise seemed broad enough: "To promote the study of economic, historical, literary, philosophical, scientific, and other subjects; and to promote and encourage the publication of literary works embodying original research in such subjects."

The press, it was further decreed, was "not intended to be a money-making corporation in the sense of affording any profit to its officers or members." The pious hope that working capital would be forthcoming from the university was not immediately realized and presently the nine press trustees found it expedient to assess themselves five dollars each.[3] Author subsidies also made an early appearance at the press when the nineteen authors who contributed to the first publication undertaken by the new press, a volume in honor of Henry Drisler's fifty years of services to the institution, were called upon to underwrite the costs of publication.[4] At the end of 1894, President Low evinced his faith in the venture with a personal gift of $10,000. The same year another solution to the problem of working capital was arrived at in the form of a contract with The Macmillan Company whereby the latter undertook the manufacture and distribution of press books, an arrangement which remained in force until 1911.

Such were the beginnings of the three pioneers, Johns Hopkins, Chicago, and Columbia, which managed to survive the rigors of their covered wagon days to become venerated members of the group under consideration.

3. Since preliminary disbursements amounted to only $42.75, a favorable balance was maintained.

4. Not a costly promise, Lane says, for the book was well received and in the end the contributors subscribed only twenty-five dollars each.

A printing plant existed as early as 1877 at the University of California. The plant, later to assume a large role in the development of this press, began modestly enough. Joseph W. Flinn, the first university printer, operated the first press himself unaided and even expanded this first equipment with funds from his own pocket,[5] but when he retired forty-five years later, in 1932, he left behind one of the largest plants on the West Coast. The first two publications brought out under the aegis of the university were Notes on the Development of a Child (Part I) by Milicent Washburn Shinn and The Geology of Carmelo Bay by Andrew C. Lawson, both in 1893. These papers initiated the series in Education and Geology respectively, among the first of over forty scholarly series still published by the University of California Press.

The first university press in Canada also had its inception in a printing plant. The imprint of a university press first appeared on publications issued from the University of Toronto in 1901 and the evidence indicates that its chief concern for many years was with scholarly publications on a restricted nature, chiefly the monograph series entitled the University of Toronto Studies. These papers, issued principally in the fields of science and economics, were offered for exchange through the library and given only limited distribution otherwise. As in the case of the press at California, it was not until the 1930's that the University of Toronto Press assumed its present form.

The devoted interest and material support of alumni helped launch presses at two leading private universities in the East not long after the turn of the century. Charles Scribner, a graduate of Princeton in 1875 and head of the distinguished publishing house founded by his father, was keenly aware of the services rendered by the great presses at Oxford and Cambridge. He had also watched the burgeoning of presses at other universities in America and was alive to the relationship between research and publication ("What is accomplished if the work of a lifetime grows mouldy in the drawer of a desk?"). When a definite plan for a university press at Princeton was brought to his attention he became its advocate and, subsequently, its patron. The plan provided for incorporation of a non-profit association and for the acquisition of a printing plant. Mr. Scribner himself wrote the statement of purpose

5. He was later reimbursed by the university, we are assured.

contained in the certificate of incorporation filed in 1905: "This association is formed in the interests of Princeton University, to establish, maintain, and operate a printing and publishing plant, for the promotion of education and scholarship, and to serve the university by manufacturing and distributing its publications."

The authorized capital was $25,000. No endowment was envisioned nor was any financial support requested of the university. From the outset, the aim was to become self-supporting, with income from the plant (including some "outside" printing) and revenue from sales used for growth and expansion. Undergraduate publications and the Alumni Weekly were handled by the press at the outset but it was not until 1912 that the "profits" from printing had grown to a point where the first book could be undertaken (John Witherspoon's Lectures on Moral Philosophy, edited by Varnum Lansing Collins). In 1911, Mr. Scribner donated the handsome building which still houses the press.

Meantime, in 1907, three Yale graduates, George Parmly Day, '97, Edwin Oviatt, '96, and Clarence Day, Jr., '96, had formed an association to publish the Yale Alumni Weekly, the Yale Review, and the Proceedings of the Society of American Foresters, as well as certain books. A year later, George Parmly Day proposed to the university that it sponsor a second organization, the Yale University Press. He was granted this permission "on the understanding that its activities would be controlled by the University Council's Committee on Publications; that it would publish no works until these had been read and approved by this Committee; that the University would not be required to finance the operations of the Press, and would be safeguarded from financial loss arising from these; and that the University would at any time acquired absolute ownership of the Press at a price to be determined by arbitration."

These terms were acceptable to Mr. Day and incorporation was carried out in 1908 (in New York City, since he was in business there at the time). Stock was issued to Mr. Day who held these shares in the interests of the university until 1910 when they were formally assigned to the institution. In that same year, he became treasurer of the university and for many years continued in both this capacity and as president of the press, twin roles which did not harm Mr. Day's plan for building the kind of endowment for the press which enabled it

to meet its obligations as a scholarly publishing organization.

The first book to appear under the Yale imprint was The Beginnings of the Gospel Story by Benjamin W. Bacon, which appeared early in 1909. A year later the press's first catalogue listed twenty titles, an auspicious beginning, and a small office was established in New York to handle sales. In 1919 the press acquired its own building in New Haven, a memorial gift honoring a Yale man killed in World War I, and was able to install its own printing plant under the guidance of the proprietor of the Montague Press at the Dyke Mill, a man named Carl Purington Rollins.

Meanwhile, up at Cambridge, Massachusetts, the formalization of a university press had finally taken place. Like California's press, Harvard's had as antecedents a printing office (set up in 1871) and a publications department (1892). In 1896 these functions were combined in the hands of a Publication Agent, an office assumed by C. C. Lane in 1908. Various studies and series, as well as several periodicals, flourished in Lane's hands and arguments were begun in favor of establishing a press. These arguments have been described by Lane as "based upon the need for the concentration of university printing, increased facilities for publication, and benefit to the University's prestige." Impetus to the movement was given by the institution of a course of instruction in printing given at the university by Daniel Berkeley Updike. The inevitable committee was soon appointed and began its labors with a search for endowment.

The search was successful in that it produced a formula under which a group of alumni agreed to guarantee "the President and Fellows of the College" against loss of an annual publication fund of $15,000 to $20,000 advanced to the press. In this manner the Harvard University Press came into being in 1913 with departmental status, a form maintained to the present. Subsequently, a number of plans for substantial endowment were advanced but apparently never carried through. Mr. Lane was appointed first director of the press and began operations with a substantial backlist accumulated from the university's earlier publication activities.

At this same time in Chicago, a Jesuit priest, Rev. William P. Lyons, was realizing his dream of establishing a university press in connection with Loyola University. Oxford and Cambridge were his models too, and to his love of books and scholarship he added a devotion to the advancement of teaching.

No American university press had a more unassuming beginning. Father Lyons's equipment consisted of a small hand press, a box of type, the loyal support of his students, permission from his superiors to use a janitor's cubbyhole--and faith. His first handiwork, turned out in 1912, was a four-page school paper, his first book a hand-printed edition of Hawthorne's Great Stone Face. From this modest start and the subsequent years of unremitting labor, there grew painfully an organization. In 1925, the Society granted permission and a loan which made possible the establishment, in its own building and with adequate equipment, of the university press which still has as its purpose the successful development of "truly Catholic textbooks, comparable in teaching methods and in typography with the best secular textbooks but based on a Catholic philosophy of education and designed to increase in our young people knowledge and love of the Faith."

The New York University Press was established in 1916 without antecedents and largely due to the efforts of one man, Arthur H. Nason, member of the English faculty and the author of several successful scholarly works. It functioned as a department of the university, and its policy of limiting its output to purely scholarly works, texts, and syllabi, all producing poor financial returns, kept it beset with financial difficulties and finally brought about its temporary suspension during the depression of the 1930's.

In 1918, another university press took shape when the board of trustees of the University of Illinois authorized the establishment of a press on a departmental basis. The purpose seems to have been to assemble under one roof the various printing and publishing operations of the university. Responsibility for editing official university publications, supervising the printing plant, and managing the university information office and stenographic service were placed in the hands of a single individual, but there was no accompanying centralization of funds or distribution machinery.

This brings this account to 1919, a convenient marker which sets off the first fifty years of university press activity in America. It is doubtful if in those five decades much "publishing" was accomplished--if by publishing is meant the application of editorial initiative as well as a concern with effective distribution. Thirteen of the thirty-five presses under examination were established in this period, but three of them were forced to suspend operations for a time. But while not

all were the publishers some of them were later to become, and while the jibe that "a university press was an organization whose function was to publish works which no one would read" had already made its appearance, yet by 1919, the record was already a distinguished one.

Evidence to support this may be found by turning again to George Parmly Day's 1914 address, where the claims were made that "the various associations affiliated with many of our American universities under the general title of university presses have fairly challenged attention everywhere by the results of their activities," and that "there is very general interest not only in their purpose but also in the efficiency of the methods by which they seek to achieve this purpose." Note that by this time the words "results" and "efficiency" begin to be of concern, which may be taken as an indication that, in some instances at least, the experimental days had passed.

As concerns the basic question of "organization," Mr. Day made these observations: "The question of their organization may have been, and frequently was, at their inception merely an academic question in more than one sense; and was solved by each university as the occasion arose without much reference as to what other institutions had done. As a result of this we naturally find that the form of organization was determined in each case by local conditions--such as the traditions, needs, opportunities and even the location of each university. The conditions making for the establishment of a press at one of our universities were almost certain to be entirely different from those prevailing at another institution, which, nevertheless, felt the need of an organization of somewhat similar character. At some of our universities, for example, the first development was a printing plant for the manufacture of catalogues, reports and other documents. At others the university press came into being in response to a demand for a publishing house closely affiliated with the university, and concerned, at the start at least, with the work of publication almost to the exclusion of manufacturing. It is rather fortunate both for those interested in our existing university presses and for those who may be planning for others yet to be established that the development has been along these different lines, since much of value can be learned from even a brief survey of the methods followed by each press and of the conditions which made these most desirable."

The obligation of the parent institution to assume responsibility for publication was also recognized in the annual report

to the trustees of Columbia University made in 1917-18 by President Nicholas Murray Butler: "A university has three functions to perform: It is to conserve knowledge; to advance knowledge; and to disseminate knowledge. It falls short of the full realization of its aim unless, having provided for the conservation and advancement of knowledge, it makes provision for its dissemination as well."

For a statement of the future then facing university presses as the world entered the period of post-World War I, there is this excerpt from an article by Paul G. Tomlinson, Manager of the Princeton University Press, which appeared in 1919:[6] "University presses can find a large and growing market for their kind of books if they look for it in the proper places. Moreover, the fact that the market for their publications is large and growing larger is an encouraging sign of the times, and one to promote confidence in the future. There is so much irresponsible writing these days that it is reassuring to know of an increasing demand for sound books; that a large body of the public still have their feet on solid foundations. The University Presses of this country have a splendid opportunity. This is a time when sane thought is needed, and not the least of the services being rendered by the American University Presses is that they are publishing books which furnish food for this kind of thought. Their opportunity is just as big as they want to make it."

To swell the ranks of presses seeking to take advantage of this opportunity in the two decades between the great wars, a number of new presses were established, some according to old formulae, some according to new.

The chronological procession of this period begins with two more West Coast presses, those at Stanford and the University of Washington. The use of the imprint, "Stanford University Press," goes back almost to the beginning of this institution, for the first class to graduate, in 1895, included an enterprising young man named Julius Andrew Quelle who started a printing plant to fill a need at the young university. Although there was no official connection with the university, the Quelle

6. It is perhaps significant that Mr. Tomlinson's article appeared in the Authors League Bulletin and that it was prefaced by the following statement: "A new group of publishing houses is arising in this country following a successful and ancient English precedent. Presses connected with certain of our universities are undertaking the publication of scholarly books and some of them are so extending their lists that they have practically entered the general publishing field."

business was located on the campus, was encouraged by President David Starr Jordan, and enjoyed the use of the university imprint. For the next twenty-five years, a number of monographs and bulletins appeared under this imprint and then in 1917 the Board of Trustees voted to purchase the Quelle plant. In 1920 the university's annual register appeared under the imprint, this time officially. Other serial publications were soon undertaken and in 1925 editorial and sales divisions were added and the first separate book publication undertaken. An attempt to endow the press in 1919 apparently did not meet with success and the organization in its subsequent development remained a department of the university which, despite the lack of endowment, provided increasingly effective printing and publishing facilities.

The printing function made its appearance at the university at Seattle beginning in 1909, but remained only a service function until 1920 when the graduate school provided the basis for the establishment of the University of Washington Press and the first use of the imprint in 1923. Thereafter, and for many years, the publishing program was concerned primarily with series and included little separate book publication. Distribution was effected chiefly through library exchange.

In New York in 1922, the dean of the gradute school of Fordham University, the Rev. R. R. Rankin, revived the earlier efforts of this institution to engage in publishing. Between 1907 and 1914 a number of publications had been issued under a press imprint through the Fordham University medical school under the aegis of Dr. James J. Walsh. When Father Rankin assumed direction of the press, a program of textbook publishing was undertaken which continued under the guidance of the graduate school until 1936 when the late Rev. Robert E. Holland reorganized the press to represent the entire university, although still on a departmental basis. Financial support was provided after 1922 from general university funds.

Back in the 1850's the good Bishop of Tennessee, one Leonidas Polk, had said of The University of the South which he was helping to found at Sewanee, "In time it was expected that presses would be established, from which a native literature should be issued." Unfortunately, this idea took little root in Tennessee, but seventy years later what may be broadly termed a "native literature" began to emanate from Chapel Hill, with the founding of the University of North Carolina Press in 1922. Its genesis was a familiar one: the desirability of coordinating early printing and publishing activities, a need made

more emphatic by the development of new research strengths at the university. While the manufacturing imprint of a press had been used at this state university as early as 1893, and various series, periodicals and catalogues had been issued by the institution not long after its attainment of university status, centralization and the resultant sustained program of publishing did not occur until 1922.

Organization of the press took the form of a non-stock corporation, set up by ten members of the faculty and three members of the board of trustees, an unusual step for a state university. The character of the new corporation listed its purpose as the publication of periodicals produced at the university, the publication of official university catalogues, bulletins, and other announcements, and lastly, "to promote generally, by publishing of deserving books, the advancement of the arts and sciences, and the development of literature." The first director of the press was the university librarian, L. R. Wilson, who like Nicholas Murray of Johns Hopkins, retained his librarianship and in due course handed the publishing reins to new hands prepared to devote full time to driving--a young man named W. T. Couch, who graduated from the university in 1926, became assistant director of the press in 1925, and took full charge in 1932. Apparently no endowment was considered and the university was prepared to accept some financial responsibility from the outset; the budget for the first year of The University of North Carolina Press amounted to $3,750, in addition to $6,000 already ear-marked for periodicals.

Impetus was given to the early activities of this press by the establishment of the famed Institute for Research in Social Science. The results of the labors conducted at the Institute under the direction of Howard Odum furnished the new press with a rich lode of publication materials and, incidentally, of financial support. Funds were necessary to capitalize the publication of the fruits of the Institute's research and when the Laura Spelman Rockefeller Memorial came to the aid of the Institute, $50,000 of the grant was earmarked for the press. During this same period (1927-30), the university was able to increase its appropriation for book-publishing to $12,500 per annum.

University presses with a regional flavor were also established during the 1920's and early 1930's at Minneapolis, Minnesota; Norman, Oklahoma; Albuquerque, New Mexico; and Baton Rouge, Louisiana.

The University of Minnesota could boast of scholarly publishing as early as 1872, with the issuance of the first report of the Geological and Natural History Survey of Minnesota, inaugurating a series which continues to the present. The extent and variety of the research publications which came from this growing Midwestern university led, in due course, to the resolutions of the board of regents which blueprinted the University of Minnesota Press in 1925.

The publications placed in the charge of the new press, said these resolutions, "shall include all books, bulletins, studies, syllabi, outlines, papers, and other materials which are to be published by the University of Minnesota and sold." Thus a comprehensive program was laid out for a single coordinating agency (although no attempt was made to bring the existing university print shop under the same control). A committee of five members of the faculty was placed in control and the university library was designated as distributing agent.

Margaret S. Harding was made editor of the new organization in 1927 and with her subsequent accession to the directorship, the press commenced expansion. Its editorial aims were broadened to include works of a more general nature, commercial manufacturing facilities were employed, a sales staff was built up, and trade distribution techniques were adopted. The press was organized as, and has remained, a service department of the university, with a revolving fund which includes sales income.

William Bennett Bizzell became president of the University of Oklahoma in 1925, and in his inaugural address reaffirmed the Gilman doctrine. Three years later he implemented this conviction by transmuting the long-established university print shop into a university press. To effect this transformation, he brought in a young Tulsa newspaperman, a graduate of the university and a Rhodes scholar, named Joseph A. Brandt, (due subsequently to direct the university presses at Princeton and Chicago). The new publishing division of the university issued its first book in 1929, a paper-bound volume in an edition of 250 copies, entitled Folk-say, A Regional Miscellany, edited by B. A. Botkin. In the next dozen years, under Brandt and Savoie Lottinville, who succeeded him as director in 1938, this press progressed from a service printing organization to a full-blown scholarly publishing house, capable of offering every type of printing and publishing service to its university, its region, and the world of scholarship and letters in general.

The Southwest gained another press when the University of New Mexico Press was established in 1930 as the printing plant of the university. The desirability of separate book publication appears to have originated in the need to supply work to the printing plant during the summer lull. The first two items were undertaken in the summer of 1933 and a list of scholarly publications, regional literature, textbooks, and even childrens' books was slowly built up under the guidance of Fred E. Harvey, who had been placed in charge of the plant in 1932. The enterprise was regarded as auxiliary to the university, although no consolidated direct subsidy was to be made during the first ten years of its history.

The influence and interest of Dean Charles W. Pipkin was responsible for the adoption of a university press imprint at Louisiana State University in 1931. This imprint was not extended very far beyond university studies and periodicals until Marcus M. Wilkerson became director in 1935, after which the activities of the press were broadened to include, in addition to works of scholarship, books of general interest, with special emphasis on interpretations of Southern history and culture. No printing plant had ever existed at the university and the output of the press was farmed out to commercial firms. An annual subsidy was provided by the parent institution from the beginning and no attempt was made to put the press on a "self-sustaining" basis.

The university press set up at Duke University in 1926 began as a department of the university and modelled its activities along the lines of those practiced at Johns Hopkins. The move was made the year after the institution changed its form and name from Trinity College and the new press assumed title to the books, monographs and journals previously published under the Trinity imprint. W. T. Laprade, professor of history, who had done his graduate work at Johns Hopkins, was an early editor of the press, and in 1943 became acting director, in addition to his academic duties. The original plan of organization proposed by President William Preston Few had decreed that "preference shall be given to books and monographs by members of the faculty, graduate students and alumni, works in domains of knowledge cultivated by the University, works pertaining to the region South of the Potomac, and such periodicals as the Press may subsidize." The venture was equipped with an annual subsidy from the university. Printing was secured from commercial firms.

After the failure of the first version of the University of Pennsylvania Press, another corporate attempt was made in 1920, this time with a capital stock valued at $10,000, to be held in the hands of the trustees of the university. This version was apparently designed chiefly to solve the institution's printing problems, rather than to engage in publishing. Again the formula proved unworkable and dissolution was ordered in 1927 to make way for reorganization along the lines recommended by Phelps Soule, who was called in as manager of the press. This time the press was more satisfactorily established as a department of the university. An annual subsidy was forthcoming from the university and the press entered into general as well as specialized publishing.

Action establishing the present University of Michigan Press was taken by the board of regents in 1930, on recommendation of President Alexander J. Ruthven, for the general purpose of coordinating the publishing activities of the university, especially with reference to their editing and distributing aspects. A long and distinguished record of scholarly publication by the university had preceded this step, beginning in 1858, when the institution was only twenty-one years old, with the publication of The Tables of Victoria, by Professor Franz Brunnow. Thereafter, and especially following the turn of the century, there was issued an increasing number of learned works, chiefly in series and through learned journals and bulletins, until by the time the graduate school assumed management of publications in 1920 a prodigious output had been achieved. Eugene S. McCartney came in to edit several series at this time and remained, his services enabling the university to take especial pride in the care with which its scholarly publications were edited. "The scholar in the laboratory, the museum, or the carrell in a university library" was the target of this press's program after the formal organization in 1930. Sufficient university subsidy has been allowed the new department to pursue this aim.

At Ithaca, New York, nine years after the first Cornell University Press had been dissolved in 1884, two science professors named J. H. Comstock and S. H. Gage started a small publishing enterprise off-campus, chiefly for purposes of bringing out their own publications. This extra-curricular undertaking was to enjoy a much longer life than is usually accorded such amateur efforts, undoubtedly in no small part due to the authorship by Mrs. Comstock, a professor in her own right, of a Handbook of Nature-Study, which turned out to be the kind of

"bread-and-butter" backlist item cherished by every publisher and is till going today in its 24th edition. When Professor Comstock died in 1931, he willed the Comstock Publishing Company to the university, thereby adding substance to the revival of the Cornell University Press.

This revival, which had occurred the previous year by statute of the university's board of trustees, seems to have taken place at the instigation of Woodford Patterson, secretary of the university, and Lane Cooper, professor of English. A small sum to finance the attempt was raised by appeal to the alumni and to this was added a subsidy of $5,000 a year by the university. Various university studies and series under contract to Longmans, Green, McGraw-Hill, and the Yale University Press were retrieved, and to this list were added the Comstock texts. It was decided to maintain the Comstock imprint and the company has been carried as a subsidiary corporation of the press, its stock held by the university and its management the same as that of the press.

In Berkeley, California, in 1933, the University of California Press, which up to that time had consisted of an office charged with the editing and distribution of the results of research by the faculty, was combined with the University Printing Office to provide, under the single management of Samuel T. Farquhar, a complete publishing operation.

At Ames, Iowa, the students responsible for the various undergraduate publications at the Iowa State College of Agriculture and Mechanic Arts decided in 1924 to pool the resources of their separate publications to establish a printing plant. Encouragement was supplied by Blair Converse, professor of journalism, and by the authorities, and The Collegiate Press, Inc.,[7] came into being that year. Ten years later, in 1934, to keep the plant busy during the summer months, a program of pamphlet and book publishing was undertaken which was to mature under the hand of Harold E. Ingle who became manager in 1937 and K. R. Marvin, professor of journalism, who took over the role of god-father after Professor Converse's death in 1939. This unique venture was quartered on college land and had the full blessing of the administration but was separately incorporated and managed to support itself. Early losses on book operations were covered by income from the undergraduate publications until a self-sufficient book program could be established.

7. The name was changed to The Iowa State College Press in 1946.

Three new presses were formed during 1936--at New Brunswick, New Jersey; Dallas, Texas; and Pittsburgh, Pennsylvania. In March of that year, the trustees of Rutgers University voted to establish a press as a necessary department of the university for the stimulation and publication of faculty research and to broaden the educational purposes of the university. Earl Reed Silvers was appointed director and the first three publications were issued in 1937, all titles of restricted scholarly interest printed in first runs of 750 copies or less. Financial support was supplied by the university.

At its June, 1936, meeting, the board of trustees of Southern Methodist University, in recognition of the desirability of coordinating certain publication activities at the university, approved the establishment of a press to be known as the University Press in Dallas. A fund of $1,000 donated from outside made possible the publication of Professor Samuel W. Geiser's Naturalists of the Frontier the following year and subsequently the press became responsible for The Southwest Review, edited by John H. McGinnis.

In September, 1936, the completion of a history of the University of Pittsburgh by Agnes Lynch Starrett, member of the English department, and the conclusion of the Western Pennsylvania Historical Survey, afforded the university an opportune moment to start a press. The program endorsed by John G. Bowman, chancellor of the university, and by the trustees, aimed "to publish books that in their substance, style, and format are worthy representatives of the scholarship of the University of Pittsburgh." A grant from the A. W. Mellon Educational and Charitable Trust was forthcoming and Mrs. Starrett's volume was issued in 1937. The press was set up under the management of Lawrence E. Irwin as a department of the university.

Out in Madison, Wisconsin, in 1937, the regents of the University of Wisconsin authorized the existence of a press as a department of the university under the aegis of the graduate school. The move does not appear to have resulted in any centralization or broadening of publishing activity but merely created an imprint for certain studies passing through a single editorship. No printing equipment was involved and funds were forthcoming from general university funds, departmental subsidies, and the Wisconsin Alumni Research Foundation.

A year later, in Athens, Georgia, the University of Georgia created a press consisting of three departments. Two of these,

public relations and printing, were sloughed off presently, leaving the publishing department, which in 1938 issued its first book, a collection of essays entitled Segments of Southern Thought by a member of the faculty, Edd Winfield Parks. The press was placed in the charge of Frazier Moore, and although incorporated was later classed as an auxiliary enterprise of the university. It was originally planned that financial support would come from printing "profits" and textbooks.

Although, as has been made clear, this study is largely confined to the group of thirty-five currently enrolled in the Association of American University Presses, mention should be made here of a number of other presses launched at various universities during this century. For one reason or another, these presses have suspended operations or have become inactive or have engaged in only limited activities to date: Baylor (1912); Oregon (1915); Marquette (1919); Ohio State (1920); Delaware (1922); Texas (1922); Northwestern (1922); Clark (1927); The University of the South (1931); University of Southern California (1931); John Brown (1934); Brigham Young (1935); and Xavier (New Orleans) (1937). A careful inquiry into these ventures, unfortunately beyond the scope of this report, would undoubtedly reveal many of the pitfalls which beset the path of university press publishing.

But the roster of healthy and flourishing presses had grown by 1939 to an impressive number, despite wars, booms, busts, and the emergence of authoritarian ideologies--so impressive as to cause Norman Cousins, then literary editor of Current History, to proclaim in 1937 that "it is probably the most notable development in publishing since the turn of the century." This review now pauses again to consider some of the causes and to examine parallel growths.

Apart from the publicity value of these press imprints, and apart from the imitative aspect of this growth, three reasons for the development appear obvious. One is the considerable expansion of universities in America in the early decade of the twentieth century and the consequent increase in research. The number of graduate students in American universities in 1900 was 5,831 by 1920 this had grown to 15,612, by 1930 to 47,255, and by 1940 to 106,119.[8] Nor was the acceleration in the productivity of scholarship limited to doctoral dissertations.

8. The recent report of the President's Commission on High Education expresses the belief that the enrollments in graduate and professional schools beyond the first degree will rise to an astonishing 600,000 by 1960.

Scholars of all ranks were making lusty noises in the physical sciences as the age of the physicists grew near, and were reasserting themselves in the social sciences as Americans finished settling the continent and began to contemplate themselves, their resources, and their handiwork. Research also took on an industrial tinge as the requirements of the machine age insisted that many inquiries yield economic advantages; while many viewers-with-alarm felt that this trend damaged the pure spirit of scholarly investigation, others saw in it "greater freedom, range and flexibility" for higher education. As a corollary to these developments, there appeared the new passion for adult education and the consequent attention to university extension activities.

Secondly, among the agencies of American publication the trend was towards more closely defined fields of activity. Many commercial publishers began to find themselves increasingly unable or unwilling to handle the more unprofitable scholarly output, as various economic pressures took effect.

The third reason lay within the presses themselves. As the scholar not only increased his output but improved it and even began consciously to aim it towards non-scholars, and as the commercial publishers retreated from the area of non-profitable publishing, the university presses moved to the fore. Either because of their increasing belief that the audiences they should reach included the educated layman or because they chose to engage in so-called "trade" publishing out of sheer economic necessity, many of the more firmly established (and even some of the newer) presses made "trade" lists an integral part of their publishing programs. [9] Nor could this be seriously regarded as a regrettable development. Even a casual study of the publications that came out during this period under university press imprints makes it fairly evident that the broad purposes of education were admirably served by this trend toward what someone has called "liaison books," popularization linking the specialist with the educated layman--and even with other specialists.

Henry Seidel Canby testified to this in 1928 in The Saturday Review of Literature. Speaking of what he felt was a national

9. According to one observer, "There are two kinds of university presses for which trade publishing has always been natural, indeed inevitable--the small regional press whose university operates on a limited budget and the press which functions as an organization quite separate financially from the university."

sweep towards more solid reading, Dr. Canby had this to say: "In this change of taste the University Presses have had an honorable part. They have carried on where the university stopped. They have made possible the publication, and, what is equally important, the distribution, of those works of indispensable scholarship which by their very nature can circulate only among the elect, and they have gone further and become sponsors for important books of an interest as great as their authority. Originally conceived as a means of publishing what could not be made commercially successful, they have entered into a healthy competition with the commercial publishers which has broadened and strengthened the market for all serious books. Their reputation throughout the reading world is already commensurate with the universities that gave them birth."

It can fairly be assumed that this notice of university presses stemmed directly or indirectly from a study being conducted at that time by Donald P. Bean, Manager of the Publication Department of the University of Chicago Press. Mr. Bean's report, issued in 1929 under the title American Scholarly Publishing, was the first comprehensive account of where and how the record of pure scholarship was achieving distribution in America. As such, it became a landmark in the literature on scholarly publishing.

The Bean study was followed, in 1930-31, by the famed Economic Survey of the Book Industry by O. H. Cheney, produced at the instigation of the National Association of Book Publishers with the cooperation of an impressive list of allied groups. The Cheney report, although an admirable document which still makes highly informative reading, contains exactly one reference to university press publishing.[10]

The same period, however, produced a series of meditative pieces in Publishers' Weekly which bore directly on the topic. Joseph Brewer, a commercial publisher, gave the ball its first spin in December, 1931, by describing the plight of the serious-minded commercial publisher who wished to undertake the publication of books which he knew would have only a limited appeal: "It grows more and more difficult...to make both ends meet on learned works, works of pure scholarship or serious works of literature and criticism...In the past it was not only considered right and proper that 'best sellers' should

10. "The growth of the university presses is a decentralizing influence--although not a powerful one in its effect on trade books."

make up the deficits of good books published at a loss and carry the 'slow movers,' but it was possible to conduct a business on this basis. Now this is no longer possible...Small editions are impossible and we can less and less afford to wait for our returns. We must have a quick turnover and every book must pay its own way."[11]

Then Mr. Brewer went on to say, "It seems also increasingly clear that the day is at hand when the commercial publisher must frankly admit his limitations...and turn the whole protection of knowledge and the publication of works of learning and scholarship over to endowed houses...If professional publishing is to be separated out from commercial publishing by means of endowed houses, the university presses should, perhaps, be the nucleus of such an arrangment...But as they are presently constituted, they are unsuited to a real professional undertaking for they are either not endowed at all or have such small endowments as to afford them no immunity from commercial considerations. Before the commercial publisher can face his necessities, therefore, and limit his field of operations, as proposed, the endowed houses will have to define their functions more clearly and definitely than the university presses have so far done. They must frankly seek larger endowments, accept the facts of them, and shoulder the consequent responsibilities. Any profits they make should be a source of grateful surprise; the question of whether the book will sell or not should never be for them a criterion for the acceptance of the manuscript or project...At present the university presses are in many instances just as guilty of shoddy publishing as any commercial house. The only criteria for the acceptance of a manuscript for such houses should be the intrinsic merit and value of the book itself and the question of whether there is a bibliographical need for it. On the other hand, they should not turn into factories for the indiscriminate publication of doctors' theses, nor should they be seduced into the publication of current fiction or popular non-fiction even if it be written by however eminent a member of the faculty or have the 'manifest destiny' of selling a million copies."

Two university press spokesmen kept the ball rolling in

11. All of which has a familiar ring to observers of the contemporary publishing scene, but a suggestion made by Mr. Brewer later in his article probably would commend itself to fewer people in 1949 than it did in 1931; "Perhaps it would not even be going too far to suspect that we could learn a lot...from the Russian State publishing houses."

succeeding issues of Publishers' Weekly. The first of these, appropriately, was Mr. Bean, who said (in part): "I have no right to speak for my colleagues but I think they would join me in approving most of these statements except the implication that by transferring this responsibility to the endowed presses the commercial publishing fraternity could then forget about its responsibility to scholarship. The commercial publishing industry is too much interested in the health of scholarship to solve the problem of adequate scholarly publishing facilities by sidestepping it. University presses are not ready to handle the problem alone. Gradual improvement of the publishing resources of university presses there must be. Improve they must the definition of their functions, and the efficiency of their methods."

Frank D. Halsey, assistant manager of the Princeton University Press, followed, first sounding a warning note and then one of optimism: "That a university press should define its function clearly and precisely is of course essential. I think, however, that university presses have already done so, but that where we fall down--almost all of us--is in not keeping the definitions more clearly and constantly in mind...It is not the publishing deficit itself which leads a university press astray, but something more insidious. Perhaps I can illustrate the point best by quoting a remark that Eddie Mahan, a great Harvard football player, once made. 'Of course,' he said, 'football should be played for the fun of it and not for the sake of winning the game. But I always found that the game was a lot more fun to play when we were winning.' And that's true of the publishing operations of a university press...It is so easy to cross over the line which marks the difference between a scholarly book which may be popular, and a popular book which may be scholarly...

"This danger of shoddy publishing will be minimized when, and only when, university presses as a whole are more adequately endowed than they now are...That the day of 'bigger and better' endowments is coming, I feel confident. No institutions of higher learning have in recent years, when seeking to raise funds, failed to emphasize the value of research as an integral part of its educational scheme. It is true that with all this emphasis it has occasionally been forgotten that publication is its natural complement; unless the findings of research are made available they are made to a great extent valueless. It probably will not be long before fund-raising campaigns put equal emphasis on research and publication."

There is no record that endowments were forthcoming in anything like the amounts Mr. Halsey dreamed of, nor in some cases even at all, but this apparently did not deter another six universities from establishing presses during the 1940's. Two of these took shape as corporate enterprises.

As early as 1922, theses had carried a Catholic University Press imprint and this label had also appeared on a quarterly review after 1927, but not until 1941 was a formal organization set up. This corporation had the same officers as the university and its prime purpose was the publication of materials prepared by the faculty, as well as dissertations. Financially, the objective was to become self-sustaining.

At Syracuse University, the press seems to have its origin in the university's opportunity to acquire several publications from the International Business Machines Corporation. This led to the incorporation in 1943 of a stock company under university control and as a twin to a university printing company previously established. Financed at the outset by university appropriation, the object appears to have been to engage efficiently in enough general publishing to cover the costs of the non-commercial items.

Parenthetically, in 1946 the committee on management at New York University resuscitated that university's press on a departmental basis in the charge of Jean B. Barr, university superintendent of printing, who became editor of the press and secretary of the committee. It was planned to issue a small and select list of scholarly publications with a limited appropriation.

Four more state universities established presses during this period. The University of Nebraska Press imprint had been used as far back as 1922 by the university printing plant which was established at that time. But not until Emily Schossberger, who had served under Father Holland at the Fordham University Press, was brought in as university editor in 1941 did the university think in terms of a press organization. Apparently some centralization of publication activities was felt to be desirable, but no substantial financial support was forthcoming nor was any distribution machinery established beyond use of the services of the extension division. The first book appeared in 1942.

Another press organized on a limited departmental basis was that established at the University of Kentucky in 1943. Funds were supplied at the beginning through a special fund,

rather than any university appropriation, and the organization consisted of a committee and an editor of the press who also retained some of his duties as professor of history. As at Nebraska, distribution was handled through the university extension division.

Much this same formula was applied to the formation of the University of Kansas Press in 1946. As at Nebraska, there had already existed a university print shop but no effort was made to place this under press supervision, although it undertook the manufacture of all press publications.

Meantime, at the University of South Carolina, in 1944, Dean W. H. Callcott of the graduate school found himself with a worthwhile volume to publish and no press, a situation rectified by action of the board of trustees in January, 1945. The volume was entitled South Carolina: Economic and Social and the authors of the studies included seven members of the university faculty. The press, which was soon supported by a modest but satisfactory annual university appropriation, exhibited a strong regional bias from the outset. The president of the university had described its objectives as, "to increase the national educational prestige of the University and the State; to stimulate scholarship and add to the world's body of knowledge through publication of scholarly research; and to serve South Carolina, as no outside press ever can or will serve her, through the preservation of her records of her past, the publication of studies which concern her peculiar problems, and the stimulation of pride in her achievements and faith in her future." Eleven books were to be issued by this sprouting regional press in its first three years, under management provided when Frank H. Wardlaw was assigned from the staff of the school of journalism.

South Carolina was the last of the thirty-five presses under study to be admitted to membership in the Association. No sketch of the origins of these particular presses would be complete, however, without reference to a trend already mentioned in this chapter and to its effect on the courses pursued during the 1940's by several of the older presses. This is the trend in the direction of "publishing," as defined earlier, and away from the mere printing of scholarly works. Among the presses whose activities or intentions in the late 1940's helped make more pronounced this trend may be listed those of the universities of California, Cornell, Harvard, Johns Hopkins, Rutgers, Stanford, Washington, and Wisconsin.

The period from 1939 to 1948 was, of course, a period of momentous change as American universities and American publishing converted to war, then reconverted to peace. Conversion to war meant for the universities a considerable adjustment, but also in many instances an opportunity to demonstrate how completely the university had become an integral part of twentieth century American living. The presses underwent the hardships of materials shortages, loss of personnel, and myriad governmental restrictions, and were forced to cut the size of their lists and to defer reprintings, but in the end they also demonstrated a high viability. Several presses which had printing plants were able to perform services directly for the government and the armed services, while most lists included books of special wartime usefulness. In general, these were prosperous years for publishers, who found vast, if in some cases temporary, new markets, and university presses shared in this gain.

Joint action in behalf of "the war effort" was achieved by book publishers through the Council on Books in Wartime, an organization of publishers, booksellers, librarians, and others interested in demonstrating that this was a war of ideas too and that in such a war, as Adolf Hitler had been the first to demonstrate, books could be weapons also. Three representatives of university press publishing served on the board of directors of the Council at various times: Datus C. Smith, Jr., of the Princeton University Press, and both Donald P. Geddes and Charles G. Proffitt of Columbia University Press. Norman V. Donaldson of Yale served as the spokesman for university presses on the Washington Committee of the Book Publishers Bureau. W. T. Couch of North Carolina represented university presses on the Industry Advisory Committee of the War Production Board.

The war years also knit the presses more closely together. They coded by-laws for their Association, expanded and improved its annual meeting, and began to exchange information and take joint action on many common problems. Recognition was afforded their brand of publishing when in 1943 The Saturday Review of Literature included a university press supplement in one of its issues and the following year dedicated an entire issue to the subject, a practice followed annually since that time. An annual university press number was also undertaken formally by Publishers' Weekly in 1945. Further recognition came when the award established in 1942 in the names of two early American publishers, Matthew Carey and Isaiah

Thomas, to be granted annually for "the best example of creative publishing," was carried off by The University of Chicago Press in 1943 for its publication of A Dictionary of American English, under the editorship of Sir William Craigie and James R. Hulbert.

The ceremony on the deck of U.S.S. Missouri meant the blessed end to loss of life and property but, as both universities and publishers were soon to discover, waging peace could be painful too. One set of problems was quickly replaced by another. University administrators found themselves with much to think about besides their presses as reconversion set in and enrollments soared. For publishers, the end of price and wage controls shot other figures up in the direction of the wild blue yonder, while other manifestations of the return to "normalcy" had a reverse effect on sales. The slump in sales, the effect of which began to be felt in 1947 and continued in 1948, did not, of course, have the effect on university publishers which it had on the purveyors of more ephemeral material, but because of the extent to which most presses had come to depend on commercial book manufacturers, the rise in production costs became a matter of real concern.

Finally, this summary takes cognizance once more of what Malcolm M. Willey, Vice-president of the University of Minnesota described in The Saturday Review of Literature in 1946 as "a pull between the pressure to issue the eruditely written monographic volume and the urge to issue books, embodying scholarship, for the widest possible audience."

In many quarters this pull amounted to a revolt, leading Joseph A. Brandt to comment that same year that "more and more hard-hitting editors and directors of University Presses are discovering among American scholars the voices who realize that the moat which separated the academic world from the lay world no longer exists...Whereas some years ago only Yale University Press, among the 'old-line' presses, was interested in reaching the layman, today, in addition to the regional presses, many of them like Chicago and Princeton have an active program looking forward to serving, not only the scholarly world, but the world in which the scholar lives."

In the eighty years since the installation of the university press high above Lake Cayuga, the growth of universities in the New World, the acceptance of new responsibilities by these institutions, and the changes in the general American publishing scene had combined to create a new profession, that of university press publishing. As partial evidence that the

thirty-five presses under study had followed the mandate of Daniel Coit Gilman--had indeed advanced knowledge farther and wider than the lecture hall--it can be seen from Table 1 that some 16,524 book titles were printed and/or published by these particular presses between 1869 and 1948. Such statistics, of course, take no account of the consequential amount of periodical publishing carried on by a number of these presses during this period nor of the vast amount of service of a non-publishing nature rendered their universities.

Table 1

NUMBER OF BOOKS PUBLISHED BY MEMBERS OF THE ASSOCIATION OF AMERICAN UNIVERSITY PRESSES

	Date of Estab.	Number of Books Published		
		Since Estab.	Ten latest fiscal years	Survey Year
Chicago	1891	2603	715	54
Harvard	1913	2382	673	94
Columbia	1893	2292	832	80
Yale	1908	1998	392	43
Johns Hopkins	1878	1300	207	16
Princeton	1905	712	350	43
California	1893	635	221	32
Stanford	1893	572	248	27
North Carolina	1922	531	273	30
Illinois	1918	490	89	9
Pennsylvania	1921	409	179	19
Catholic	1939	355	355	90
Michigan	1930	300	140	16
Cornell	1869	275	136	20
Minnesota	1925	214	149	13
Duke	1921	193	93	5
Oklahoma	1929	184	107	12
Toronto	1901	175	127	18
Loyola	1912	140	18	4
Louisiana	1931	104	72	9
Fordham	1907	100	42	3
Rutgers	1936	88	88	23
New Mexico	1930	82	70	11
Iowa City	1924	77	36	7
New York	1916	68	4	4
Wisconsin	1937	60	45	4
Georgia	1938	54	54	7
Syracuse	1943	45	45	11
Pittsburgh	1936	21	17	4
Nebraska	1941	17	17	5
UP in Dallas	1937	15	15	2
South Carolina	1945	11	11	7
Washington	1909	9	9	3
Kansas	1946	8	8	1
Kentucky	1943	5	5	1
Total		16,524	5,842	727

IV. American University Presses Today

"And so the university press, which came into being and is still being directed without the primary motive of profit which necessarily dominates every business, may find itself called upon to be the guardian and protector of originality, of experiment, of all the values to which men give lip service until their pocketbooks are involved."

--J. Donald Adams

THESE ARE grave responsibilities of which The New York Times Book Review columnist speaks. This chapter will undertake a broad description of the American university presses which might be required to accept these responsibilities.

Who were they? In all likelihood they were the thirty-five previously described, the names of which are repeated here in abbreviated form: California, Catholic, Chicago, Columbia, Cornell, Duke, Fordham, Georgia, Harvard, Illinois, Iowa State, John Hopkins, Kansas, Kentucky, Louisiana, Loyola, Michigan, Minnesota, Nebraska, New Mexico, New York, North Carolina, Oklahoma, Pennsylvania, Pittsburgh, Princeton, Rutgers, South Carolina, Stanford, Syracuse, Toronto, University Press in Dallas, Washington, Wisconsin, and Yale.

To explore beyond this roll of members of the Association of American University Presses, inquiries were directed during the Survey to every institution where any evidence of university printing and/or publishing activities under press imprints could be found. A total of 77 such inquiries were sent out and 64 replies were received, of which 40 indicated the existence of some form of "press" activity. They may be divided roughly into three groups.

In the first group can be listed those 17 university or college presses which were found to be actively engaged in publication,

including books, under their own imprints. These include:

University of Alabama Press (established in 1945)
The Antioch Press (1923)
Colby College Press (1947)
Dartmouth College Publications (1932)
University of Denver Press (1948)
Fisk University Press (ca. 1928)
University of Florida Press (1945)
Georgetown University Press ("not known")
University of Hawaii Press (1947)
Loras College Press (1938)
Marquette University Press (1915)
University of Portland Press (1946)
St. Olaf College Press (1934)
The Technology Press (M.I.T.) (1933)
Vanderbilt University Press (1940)
Wayne University Press (1941)
Xavier University Press (no date given)

Many of these 17 presses, it will be noted, are of recent origin. Eight of them indicated they have plans for expansion (Alabama, Antioch, Denver, Florida, Hawaii, Marquette, Technology, and Wayne, almost all of them "gradual" or "modest"), while the other 9 indicated they plan to proceed as at present.

The second group is composed of 8 "presses" which in most instances are not formally organized as such but which use press imprints on university or college publications offered for sale; these publications, which may be pamphlets, bulletins, studies, or monographs in series, usually originate on the local campus. In this group may be listed these imprints, with dates of "establishment:"

University of Arizona Press (1947)
Carnegie Press (1947)
University of Colorado Press (1947)
State University of Iowa Press (1890)
University of Oregon Press (1897)
University of Tennessee Press (1940)
The Press of Western Reserve University (no date given)
Wheaton College Press (1932)

Again it will be noticed that many of these imprints are of recent origin and again it can be reported that several of these

institutions plan to expand their "press" activities.

The third group consists of press imprints used by universities and colleges which maintain print shops to handle their domestic needs, thus reverting to the original connotation of the word. Fifteen of these printing imprints were found as follows:

Baylor University Press ("about 1905")
Brigham Young University Press Department (1934)
University of Dayton Press ("18??")
John Brown University Press (1919)
Kansas State College Press (no date given)
University Press (of Maine) (1915)
The Ohio State University Press (1928)
Oklahoma Baptist University Press (1924)
Pacific Union College Press (1910)
Park College Press (1946)
The University Press of Sewanee, Tennessee (1905)
The University of Texas Press (1915)
Journalism Laboratory Press, Washington and Lee University (1927)
Tulane University Printing Press (1900)
Woodstock College Press (no date given)

Several of the replies received were from "presses" which appeared to be more anticipatory in nature than actual. Other questionnaires were returned blank save for ghost-like phrases written across their faces: "temporarily inoperative," "not now active;" "not now functioning;" "suspended activities until 1950;" "closed in 1944;" "discontinued." There were other ghosts from whom no replies at all were received.

Where were the flesh-and-blood specimens to be found? Clear across the continent. Thirty-three members of the Association were located in 23 different states of the Union, with the thirty-fourth (Catholic) in the District of Columbia, and the thirty-fifth (Toronto) in the Canadian Province of Ontario.

Three of these presses were found on the West Coast (California, Stanford, and Washington). Three were located in the Southwest (New Mexico, Oklahoma, and University Press in Dallas). The South contained 7 (Duke, Georgia, Johns Hopkins, Kentucky, Louisiana, North Carolina, and South Carolina). The Midwest could claim 9 (Chicago, Illinois, Iowa State, Kansas, Loyola, Michigan, Minnesota, Nebraska, and

Wisconsin). The remaining presses in the group were in the Northeast.[1] This is indeed national publishing.

What activities were these presses engaged in? It has already been shown that the 35 members of the Association published a combined total of 727 books during the Survey Year. This was approximately 8 per cent of the total number of titles published in the United States during that period. The net book sales of these presses during the Survey Year, not only of these particular titles but of backlist items as well, amounted to approximately $4,170,000 dollars, or about 1.5 per cent of the dollar value of all bound books sold in the United States during that period.

As for the non-book activities of these presses, 25 members of the Association published in the Survey Year a total of over one hundred periodicals. It is difficult to total the other non-book activities of these member presses, which included a wide variety of services to their universities, but 11 presses had under their jurisdictions printing plants in the Survey Year and two presses were responsible for the management of their university bookstores. At least 11 presses were concerned with editing and/or printing and/or distributing official university publications (catalogues, bulletins, announcements, etc.). At least 4 maintained duplicating or mailing services for their institutions.

As for the organizations not included in the Association, general statistics were available only from the 17 presses making up the first group described. These presses published a total of 34 book titles in the calendar year 1947; one press brought out as many as 7 titles that year, while 3 issued none. Sixteen of them indicated a total of 233 book titles published since their respective dates of establishment. Twelve reported total net sales of $61,975 for the latest fiscal year, based on various viscal years ending between June 30, 1947, and June 30, 1948, and included in several instances receipts from pamphlets, journals, and printing. Finally, 6 of these presses published a total of 7 journals in 1947.

Publishing, it was suggested in Chapter III, may be considered to imply a certain amount of editorial initiative and a

1. Only 3 were found in New York City, capital of commercial publishing (Columbia, Fordham, and New York), although 4 more were situated near enough to breathe its heady fumes (Pennsylvania, Princeton, Rutgers, and Yale).

certain amount of promotion. As for editorial initiative, the 35 members of the Association reported that 294, or approximately 40 per cent of the 727 book titles published during the Survey Year, came from elsewhere than the parent institution of the publishing press. Fourteen of these presses went outside their universities for 50 per cent or more of their book titles published during that year. The 35 presses further reported that 229 titles, or approximately 31.5 per cent of the Survey Year total, either originated with the presses or were solicited by them; that is, either the ideas for these books came from the presses and authors were found to execute them or the manuscripts came in because presses had sought them out. This shows an impressive amount to editorial initiative.

Some picture of the distribution techniques of these 35 presses may be obtained by examining their Survey Year sales staffs, as well as their reports on how they spent their advertising appropriations. Twenty-five presses reported that they either maintained salaried sales personnel or retained the services of outside commission salesmen. Sixteen presses had salaried sales personnel, while 22 used commission salesmen; 13 used both. Eighteen presses reported that they advertised their books in newspapers during the Survey Year; 25 presses advertised in periodicals other than those classed as learned journals; 22 presses advertised in book trade magazines. Fourteen of these presses placed enough advertising to make it worth their while to employ advertising agencies. These statistics suggest that an ample number of these presses actively concerned themselves with the promotion of their books.

It was made clear in Chapter III that during the years prior to this study many presses had engaged in a certain amount of publishing for an audience of educated laymen. A single figure may reveal the attitude of these 35 presses towards the market possibilities of the books they published in the Survey Year. Using the size of the discount allowed to authorized dealers as a criterion, it can be reported that 245, or approximately 33.6 per cent of the 727 titles published, carried "trade" discounts, that is, were offered to dealers at a discount of 33 1/3 per cent or more. These 245 titles were published by 29 presses.

With regard to their role in specialized scholarly publishing, it was soon discovered that university presses did not carry the entire load, which was shared with commercial

publishers and with learned societies and associations. To discover how much of the load was borne by present-day university presses, a check made twenty years ago by Donald P. Bean was repeated in connection with the present study.

A list of scholarly books was selected from the catalogue cards prepared by the Library of Congress of all new books received by the Library in 1947. The same criteria used by Mr. Bean in 1927 were applied to the process of identifying "books primarily addressed to scholars or written by scholars for text use in colleges or scholarship for general readers — in other words, products of scholarship."[2] Whereas in 1927, Mr. Bean's winnowing had produced 1,892 such titles, which he found to be approximately 7 per cent of the total, the present effort resulted in the selection of 1,954 scholarly books, approximately 8 per cent of the total.

Mr. Bean had then divided the total number of scholarly titles thus selected into three categories, and when this was repeated in the present survey, it resulted in the following comparisons:

	1927	1947
1. Primarily addressed to scholars	1,119	1,096
2. Textbooks (college and advanced)	471	337
3. Popularizations	302	521
	1,892	1,954

The decreases shown in two classes can undoubtedly be accounted for by World War II, when much of the scholar's work was interrupted or directed into other channels and when the number of textbook titles published was reduced, as were most other kinds of books. These years of famine were bound to be reflected in the Library's 1947 cards.

The results of an analysis of the publishing services of both the 1927 and 1947 titles are presented in Table 2. It can be seen that between 1927 and 1947 an increased amount of this scholarly publishing was transferred from commercial and other publishing auspices to university presses. In 1927, universities and/or their presses published 518, or 27 per cent

2. In the application of these criteria, the Survey researcher was fortunate in being able to consult Mrs. Smith Mayo who had performed this work for Mr. Bean.

Table 2

COMPARISON OF 1927 AND 1947 SCHOLARLY BOOK TITLES BY PUBLISHING SOURCES

Source	Books for Scholars				Texts				Popularizations				Total			
	1927		1947		1927		1947		1927		1947		1927		1947	
	No.	Per cent	No.	Per cent	No.	Per cent	No.	Per cent	No.	Per cent	No.	Per cent	No.	Per cent	No.	Per cent
Commercial	267	24	214	19	379	80	267	79	225	75	368	71	871	46	849	43
University	442	39	500	46	59	13	39	11	17	6	80	15	518	27	619	32
with press	282	25	447	41	50	11	28	8	11	4	77	14½	343	18	552*	29
without press	160	14	53	5	9	2	11	3	6	2	3	½	175	9	67	3
Society, foundation, association	219	20	197	18	4	1	5	2	29	9	39	7	252	14	241	12
Miscellaneous	191	17	185	17	29	6	26	8	31	10	34	7	251	13	245	13
Total	1119	100%	1096	100%	471	100%	337	100%	302	100%	521	100%	1892	100%	1954	100%

*523 of these, or 27 per cent of the total of 1,954, were published by members of the Association of American University Presses.

of the total of 1,892 titles, while in 1947, educational institutions and/or their presses published 619, or 32 per cent of the total of 1,954 titles. In recent years, university presses have not only undertaken the publication of a larger number of the "products of scholarship" but also an increased number of "popularizations." Textbooks have remained where they were twenty years ago: in the hands of commercial publishers.

Any assessment of the role in scholarly publishing of learned societies and associations was beyond the defined limits of this study, yet this investigator could scarcely refrain from acquiring a profound respect for that role. This branch of scholarly publishing currently had its problems, too, and many of them caused by the same conditions which, directly or indirectly, affect university press publishing, notably high costs of manufacture, high costs of living, and high taxes. But at least two of these organizations were making determined and sensible efforts to cope with their problems. Undoubtedly other similar efforts might have been discerned, but the ones which came most forcefully to the attention of this investigator were those being made by the American Council of Learned Societies and the Modern Language Association.

In an attempt to clarify and improve the advisory publishing services offered its constituents, the American Council of Learned Societies in January, 1949, appointed an experienced former university press publisher, Henry M. Silver, as its Staff Adviser on Publications. It was no accident that the individual selected knows something about some of the revolutionary aspects of modern book production.

During the autumn of 1948, the Executive Secretary of the Modern Language Association, William R. Parker, made available to some of his senior members a report on the previous publishing record of the Association. The statistics revealed were startling and many members of the Association immediately voiced constructive comment and considered various corrective measures, including the question of the extent to which the burden could be further shifted to the more experienced and professional shoulders of university presses.

The kinship between many modern university press publishers and their brothers in commerce is clear. As will be demonstrated in succeeding chapters of this report, many of the techniques employed by university press publishers have

been adopted from commercial publishing. Here it need only be remarked that since university publishing depends to an extent on the same machinery employed by commercial publishers for manufacture and distribution, university presses are obviously affected by "trade" conditions.

Any consideration of the general state of book publishing in 1948-49 had to begin with the premise that in America books are luxuries. This fact has been commented on with regret for many years, most recently by J. Donald Adams in the column quoted at the head of this chapter, in which he was writing about the sponsorship of good books of definitely limited or problematical appeal:

"It has been the pride of every good [commercial] publishing house to assume such risks, and even the certainty of financial loss, for the sake of prestige and that furtherance of good literature which every publisher worthy of his profession has always in mind. But, confronted as he is by the problem of rising costs which he cannot equalize by proportionately increased prices because the American public, rightly or wrongly, regards books as a luxury item, faced as he is by the growing need to appeal to a mass circulation, and by the competition of newer, though not necessarily better, means of communication, it takes a house with a formidable back-list or a sizable personal fortune to maintain with any comfort the principles on which good publishing had traditionally been conducted."

During World War II, all book publishers, including university presses, benefited from several favorable circumstances: they were forced by shortages to publish fewer titles and to effect considerable manufacturing economies, they received bulk orders from the government, and they found new markets as other consumer goods were forced out of production. Each one of these favorable circumstances was thrown into reverse after 1945. Lists were again expanded, manufacturing prices started to climb, special orders dwindled and then vanished, and automobiles, refrigerators, radios, and a hundred "luxury" items reappeared to compete for the consumer's dollar.

By 1947, conservative publishers began to take an apprehensive view of these matters. One of the most widely respected trade publishers, the late Alfred R. McIntyre, president of Little, Brown and Company, wrote an article in which he cited figures to show that even if the retail price of a book were increased from $2.50 to $3.50, an increase which most publishers already felt was too great to win acceptance from

the consumer, manufacturing and overhead costs had risen to a point where a sale of 10,000 copies would not produce a net profit for the publishers. Others noted with concern that trade publishers were being forced to place an even greater reliance on sources of income other than those received from the sale of books: namely, the sale of book club, reprint, movie, and digest rights.

To many thoughtful trade publishers, the university presses seemed to be the logical heirs to that kind of responsible publishing in which commercial houses found it increasingly difficult to engage. To many university press publishers, the shouldering of these added responsibilities seemed quite logical — provided the pitfalls could be avoided.

There appeared to be three of these pitfalls: 1) the operational danger that some university press publishers would be drawn into the publication of "trade" books that were really marginal to them as well as to commercial publishers; 2) the philosophical danger that such trade publishing as they might engage in would draw off energies and resources more properly devoted to their primary obligation which remained the publication of scholarly materials; and 3) the very practical danger that such activities would open to question their status as tax-free organizations.

They could agree, some of them felt, with the trade publisher who described the condition of general publishing in 1948 as one offering a "strategic opportunity" to university presses. One or two of them in their franker moments would echo the candidate Abraham Lincoln, "The taste is in my mouth a little." Yet, despite the opportunity, despite the taste, and perhaps above all, despite the compulsion towards self-sufficiency induced by the contraction of many of their main sources of support, the wisest among them were prone to remember that "there tend to be rewards for the presses that keep the faith, and punishments for those following false gods." Or, as another press director observed, "The distinction lies in the fact that the commercial publisher must have two yardsticks — quality and potential profit — whereas the university press publisher has only one — quality."

What was the state of the Union and of the world around it during the period of this Survey? The nation and the world, said Robert E. Sherwood, are "now moving across an apparently limitless plateau of emergency." Two facts dominated all the rest between April 1, 1948 and March 31, 1949: the

domestic economy of the United States was undergoing adjustment, and the United States and Russia were engaged in what had become known as cold war.

It remained to be seen whether the economic adjustment was only a moderate one. But surely business, labor, agriculture, and, not least, the government, faced many serious challenges. "We must," said President Truman, reporting to the Congress on January 5, 1949, "be more than ever on the alert."

Two weeks later, on January 20th, the President in his inaugural address termed communism a "false philosophy" and contrasted it sharply with democracy. The next day, in Moscow, the editor of Pravda, speaking before Stalin and the entire Politburo at a memorial meeting in honor of Nikolai Lenin, replied that communism was "the brain, honor and conscience of our age, a new era, the era of crushing capitalism." Thus was the philosophy of absolutism once more pitted against the philosophy of freedom, in a struggle that appeared certain to dominate the second half of the twentieth century.

Contemplating this prospect the day after the Truman inauguration, The New York Times was moved to comment in its editorial columns, "We can only say today — and this with no partisanship and no magnification of an individual — that the American democracy approaches the challenge of the years with confidence. This truth is not something one can prove by conning the words of a speech or by listening successively to the music of forty bands. It is something which one feels in one's bones."

The mushroom of smoke rising above the New Mexico desert on July 16, 1945, had ushered in a new age. It was still too early, in 1949, to know whether it would be an age in which there would be no place to hide or an age of unbelievable advances in the lot of mankind. There were signs, however, that the veil of utter secrecy laid over atomic energy during the war, and maintained in the post-war years because of the threat of new war, might be lifted to let the people equip themselves with the knowledge to make momentous decisions. On February 6, 1949, David E. Lilienthal, Chairman of the United States Atomic Energy Commission, raised this issue in a speech at Lehigh University: "How the machine shall be used will be determined by choices made by the people. But those choices are genuine choices only if the people make them with a knowledge of the facts, with a knowledge of the alternatives that are open to them. The means whereby the people make

their decisions depends upon a sacred and inviolable process — the dissemination of knowledge."

What has all this to do with university press publishing? The connection was real. If the economic "adjustment" should become a downward spiral seriously affecting the pocketbooks of the majority of Americans, university presses would feel it. If the avenues of communication are to be kept open between the great nations of the world, university presses will play a part in the process. If David Lilienthal wins his battle to bring certain knowledge about atomic energy out into the open, university presses are bound to have a share in disseminating that knowledge. The state of the Union and the state of the world, now clearly of a piece, cannot fail to concern those responsible for university presses. If the scholar has left the cloister — and there is ample evidence that he has — so has his publisher.

But apart from what they might feel in their bones, those who operated the 35 university presses under study had on their hands a number of very practical problems at the time the Survey was made. Each was accordingly invited to list the three most pressing problems facing this press at that time. This inquiry provoked a 100 per cent response.

The concrete problem most common to the greatest number of presses was, as might be expected, increased costs. Eighteen presses gave some version of this phrase among its three most pressing problems and one of these gave it in two forms, meaning that a total of 19 replies can be classified under this heading.[3] No safe generalizations can be made about the kind of press reporting this problem, except to say they were all kinds, large and small, incorporated and departmental, state and private.

Runner-up was the often related problem of inadequate finances, listed by 17 presses. Again the names of these presses indicate that no one kind of press had a monopoly on this problem. In a number of replies, this problem was closely identified with the preceding one of costs; for instance, "Financial support: to maintain output and standards in the face of rising costs, and to secure capital for large or long-range projects" and "The building up of sufficient financial reserves to provide reasonable security for an uncertain

3. Interviews indicated every press in the entire group had the problem to cope with; it only seemed less pressing to some.

future. This problem is complicated by high production costs."

Some form of the problem of relations with the university was listed by 7 presses and one of these devoted all 3 of his allotted replies to this topic, making 9 in all classified under this heading. Three of these 7 presses cited the problem of "a policy on development of the press" or "clarification of lines of authority," suggesting that the Survey had caught them at a moment of change or indecision. Another cited the problem of "coordinating the editorial, publishing, and printing activities" of its university, while another listed "increased calls [from its university] on the press for publication and service." Two others put down the problem of "keeping the University faculty and community informed so that members will know the services which we can perform well for them and at the same time will realize the unreasonableness of some of their demands and expectations." The press which concerned all 3 of its replies with the problems of relations with its university had obviously been queried at a moment when those relations were far from satisfactory.

Replies from 12 presses were on the subject of insufficient personnel. Either their staffs were too small or they were having trouble finding trained or trainable personnel and then holding them at low salaries.

Nine presses replied that they were having space troubles. They simply did not feel they were housing their organizations adequately or efficiently.

Fourteen presses reported what might be described as editorial problems; 2 of these gave 2 answers each under this heading, making a total of 16. The most common reply, given by 6 presses, cited a shortage of publishable manuscripts. Others were having a hard time offering adequate editorial services or achieving balanced lists or maintaining high standards or persuading scholars to write for laymen as well as other scholars. One admitted that the temptation "to be overly interested" in sales possibilities of certain items to the neglect of scholarship constituted one of its most pressing problems, while another felt the lack of an effective style book.

Distribution, including promotion as well as sales, was listed as a problem by 14 different presses, with one of them citing 2 aspects. In all cases but one, these presses had in mind the problem of achieving more effective domestic distribution of their output (the exception cited "international

currency and commodity restrictions"). The problem of distribution was perhaps stated in its broadest terms by the press which listed as one of its pressing problems " a general public potentially interested in certain kinds of scholarly books but not yet accustomed (as European laymen so often are) to reading and buying scholarly works." Another press specifically mentioned the "need for a more comprehensive and more efficient Educational Directory to facilitate direct mail selling." The majority of the presses expressing concern over distribution problems were newer or smaller organizations.

In most cases, these presses which listed increasing costs clearly had in mind rising manufacturing costs, but only 3 presses listed production problems: one its need for a production manager, the second its need for new plant equipment, the third its need for good local commercial manufacturing.

Four replies could not be grouped with the foregoing:

1. "Inability seriously to consider the possibility that there may be some relation between the plight of the world and the kinds of activities engaged in by universities, especially by those in the more powerful countries."

2. "Almost complete atrophy of critical talent inside and outside universities."

3. "Submergence of scholarship in minute specialization, and corresponding tendency of the scholar literally to know more and more about less and less."

4. "Need to exploit the potentials of cooperation among university presses."

Despite these problems — and many of them, as this observer can testify, were seriously plaguing these presses during the period of the Survey — American university presses had by 1948-49 secured for themselves a position of influence and esteem. It was no longer possible to imagine American universities or American scholarship or American publishing without them.

V. Relations with the University

"The whole question has to do with the kind of intellectual society we have. University presses can never be better than their universities. That may be all there is to it."

--Mark Van Doren

THE DIRECTOR of a favorably known university press once wrote: "However much the [press] management may insist upon and exercise its responsibility, it is ultimately dependent on the parent institution and exercises only a delegated authority. It is not and ought not to be free in the sense of being able to do what it pleases. It ought to be free only to operate in such manner as to serve the purposes for which it exists, and, at times, to criticize and secure changes in [these] purposes."

A detailed study of parent institutions was not within the scope of this Survey but a few facts were inescapable. Universities and colleges in the United States in the autumn of 1948 were found bulging with a record enrollment of approximately 2,400,000 students, an increase of 3 per cent over the 1947 enrollment. Veterans enrollment had dropped 9 per cent and freshman enrollment was off about 4 per cent, however, so perhaps the peak was past. Yet many educators expected the figure to reach 3,000 000 during the 1950's and the President's Commission on Higher Education had proposed an enrollment of 4,600,000 for 1960. In 1870, a year after the first university press at Cornell, United States institutions of higher education graduated an estimated 9,000 students, while in 1900 the total enrollment was placed at 238,000.

The post-World War II expansion meant desperate overcrowding. Quonset huts, barracks, pre-fabs, and other makeshift buildings were in use as living quarters and classrooms on almost every campus visited during the autumn of 1948, while on every side new permanent buildings were going up. Many university communities looked like construction camps.

Post-war expansion also signalled a grave increase in financial problems. Faculties had grown in size, salaries had risen, every overhead expense was up. For state universities and colleges, this meant soliciting larger budgets from their state legislatures. For private institutions, dependent chiefly on endowments, gifts and tuition fees, a period of high costs and low interest rates was even more serious. It has been estimated that independent institutions were seeking to raise a total of over $2 billion in 1948-49.

If expansion was to continue at the rate suggested by the President's Commission, it would obviously have to depend to a certain extent on federal aid. The federal budget submitted by President Truman for the fiscal year 1949-50 included an item of $290 million for assistance to the States in their elementary and secondary school programs and asked for another million dollars for purposes of studying further the question of federal aid to higher education.

This question was not viewed with equanimity by all representatives of private universities, at least one of whom felt that along with federal largesse might come federal control: "Because I believe that the Federal Government has no right to take money out of our pockets and give it back to us without some form of supervision," said Dwight D. Eisenhower, "therefore I say that they cannot give Federal money for the support of higher education. When Federal money comes into that field we are entering a dangerous situation."

James Bryant Conant remarked that he saw no "visible signs" of Federal support having "a blighting influence" on education at present, but added that "the question of whether in the long run the vital autonomy of a university might be sacrificed in the search for funds must be examined with all candor." He felt the best way for any one university to maintain its independence was to "diversify its own sources of income."

Certain data about the 35 institutions which had fathered the presses under examination have been assembled in Table 3. It can be seen that the group included thirty-four universities

Table 3

PARENT INSTITUTIONS OF AAUP MEMBERS: ORGANIZATION, ENROLLMENT AND STAFF

University or College	Year Organ.	State or Private	1946-47 Enrollment			Staff
			Under-grad.	Grad.	Total	
California	1868	S			40,800	3235
Catholic	1887	P	2,070	1,630	3,700	346
Chicago	1892	P			12,366	764
Columbia	1754	P			29,245	2200
Cornell	1865	PS	7,984	1,718	9,702	1316
Duke	1838	P	3,448	1,349	4,797	460
Fordham	1841	P	7,025	1,125	8,150	272
Georgia	1785	S	6,041	200	6,241	360
Harvard	1636	P	5,459	6,617	12,076	2176
Illinois	1867	S			24,161	3219
Iowa State	1858	S	9,610	870	10,480	829
Johns Hopkins	1876	P	4,837	1,042	5,879	846
Kansas	1866	S	8,513	491	9,004	539
Kentucky	1865	S	6,247	391	6,638	363
Louisiana State	1860	S	10,028	575	10,603	408
Loyola	1870	P	5,626	1,514	7,140	739
Michigan	1817	S			21,712	969
Minnesota	1851	S	24,479	2,624	27,103	2134
Nebraska	1869	S	9,109	539	9,648	539
New Mexico	1889	S	3,478	175	3,653	200
New York	1831	P	27,227	9,593	41,787	3200
North Carolina	1789	S	6,065	737	6,802	287
Oklahoma	1890	S	10,679	952	11,631	477
Pennsylvania	1740	S	13,775	4,874	18,649	1862
Pittsburgh	1787	P	12,132	4,807	16,939	785
Princeton	1746	P	3,424	514	3,938	519
Rutgers	1766	SP	7,426	223	7,649	1099
South Carolina	1801	S	4,034	133	4,167	258
Southern Methodist	1911	P	6,256	525	6,781	336
Stanford	1885	P	4,799	2,404	7,203	770
Syracuse	1870	P	13,978	1,250	15,228	1031
Toronto	1827	S			17,007	1397
Washington	1861	S	14,116	1,478	15,594	897
Wisconsin	1848	S	16,047	1,972	18,598	1198
Yale	1701	P	5,402	3,245	8,647	1214
Total					463,718	37,244

and one college (Iowa State); that eighteen of these institutions were state-sponsored while fifteen were private; that two were partly private and partly state; that many were venerable and some were new; that several were enormous and several were small.

Every attempt to draw from these particular figures any conclusions about the relationship between the success of a university press and the nature of its parent institution, came to naught. Presses actively and successfully carrying out their announced aims were found attached to state institutions and to private ones; to large institutions and small; to old universities and new. Unquestionably the character of an institution has a bearing on the nature of its press, but every time a conclusion was drawn, it was promptly confounded by the number of exceptions.

It was possible, however, to gauge, at least subjectively, the specific services rendered each university by its press. The heads of the thirty-five presses asked to cite these services in writing — and to be as specific as possible, rather than rhetorical.

The number of services listed in the replies varied from one (from each of 3 presses) to 8 (from one press). In a number of instances, the answers duplicated those given in response to the inquiry about purpose described in Chapter I. It was also noticed that the services listed did not necessarily include all those actually rendered. For example, only 8 presses chose to mention, as services provided to their universities, their publication of one or more periodicals, whereas other inquiries revealed that 25 members of the group engaged in periodical publishing. Other such omissions occur, provoking this reminder that the services listed were those which the directors of these presses chose to single out for mention.

The most frequently mentioned service (by 22 presses) was the publication of the output of the home faculty. By providing members of the university staff with facilities for publishing the results of their research, these presses felt they were rendering perhaps the most logical service they had to offer. Ten presses (some of them from this group of 22) felt that their very existence had served to stimulate and encourage local authorship, particularly among younger scholars. Four other presses indicated their conviction that such publication facilities had helped attract to (or hold at) their universities scholars of distinction. Another press avowed candidly that

its publication of the research of its faculty members has assisted them materially in their professional advancement.

It was interesting to see that 11 presses listed among their services to their own institutions the fact that they had also published results of research from outside sources.

In various forms, the 21 presses which cited "public relations" made plain their belief that by the quality of their output, and the evidence thus provided to both academic and lay public, the reputation of their universities had been enhanced. One press said staunchly that its publications culled from the local campus offered concrete evidence that "here is a faculty mentally alive." Two others, both attached to state institutions, forthrightly claimed that their publication of popular regional materials by staff members was likely to win wider state support for their universities. Another mentioned the publicity value to the university of book review, space advertising, and other newspaper notices about press publications. Perhaps the bravest claim was made by that press which listed itself as its university's "widest known and best advertised medium."

More specific services were found under various headings: editing, printing, and/or distributing the university's official publications (catalogues, announcements, etc.); duplicating, mailing, and/or trucking services; printing of student publications; supplying the university library with exchange materials; publication of dissertations; publication of experimental materials for classroom use; management of the university bookstore, maintenance of the alumni mailing list, conduct of an audio-visual center, purchase of all university printing, and operation of a library bindery.

Among the 13 presses which listed services of an advisory nature, 10 mentioned some form of editorial service, while the other 3 listed consultation offered on printing matters.

It has already been commented that 25 presses handled the publication of periodicals. Seventeen of them apparently did not consider that function worth mentioning among the services provided to their universities. Similarly only 6 presses out of 11 chose to refer to their printing plants.

Five presses considered that their publication of regional materials constituted a service to the university, while 3 felt that their high standards of book-making had contributed to the advancement of the graphic arts and that this in turn was a service to the university.

To discover the nature of the administrative relationship of these 35 presses to their parent institutions, as well as the extent of the authority delegated to them, data were collected on the organizational status of each press.

Twenty-seven reported that status as that of a division or department of their universities: California, Chicago, Cornell, Duke, Fordham, Georgia, Harvard, Illinois, Johns Hopkins, Kansas, Kentucky, Louisiana, Michigan, Minnesota, Nebraska, New Mexico, New York, Oklahoma, Pennsylvania, Pittsburgh, Rutgers, South Carolina, Stanford, Toronto, University Press in Dallas (Southern Methodist), Washington, and Wisconsin. In many instances, this status was of an auxiliary nature. It will be noted that 17 of these presses were attached to state institutions, while the other 10 were attached to private universities.

The remaining 8 presses had separate corporate status: Catholic, Columbia. Iowa State, Loyola, North Carolina, Princeton, Syracuse, and Yale. Several of these were non-stock or membership corporations, and where stock existed it was usually held by the parent institution; all, of course, were incorporated as non-profit organizations and none paid taxes. Only 2 of these incorporated presses were attached to state institutions (Iowa State and North Carolina).

The advantages or disadvantages of incorporation are debated from time to time in university press circles, and the investigator was at pains to explore this question in numerous interviews.

The advantages apparently consist of what might be termed the four freedoms of corporate status: freedom to contract, freedom to raise funds, freedom from university accounting practices, and freedom to reject manuscripts. Needless to say, not all these freedoms were found at every incorporated press nor were they deemed necessary. The disadvantages may be listed as the difficulty of achieving university financial support (since incorporation sometimes increases the university's inclination to require its press to be self-supporting), the danger of taxation, and the tendency to undertake a publishing program too far removed from the university's needs. Again, it goes without saying that not all, nor necessarily any, of the incorporated presses studied suffered currently from these disadvantages.

Fundamentally, the answer to the question of whether to incorporate remains the old one about one man's meat. Each

press studied had obviously suited its status to its particular needs at the time the decision had been made. Very few, if any, of the presses examined indicated any strong desire to alter their existing structures. In several instances, a press claimed that its status, whether corporate or departmental, had been a factor instrumental in its successes.

The next question considered in connection with the relationship between press and university was that of controls, administrative and editorial. These controls were found to be exercised through special press boards or committees; sometimes it was found that a single group acted on both administrative and editorial matters, sometimes separate groups existed for each function. For purposes of this study, these groups were identified as "control boards" and "editorial committees."

A control board was defined as "that group, board, or committee of trustees, syndics, or directors which controls the overall operations of [each] press, administrative and/or editorial." Table 4 shows that 24 presses were guided by control boards at the time of study; that is, by boards charged with formulating policies, delegating authority, and checking on management. The average control board was found to have almost 9 members, ranging from 4 to 17. In the case of 10 of these 24 presses, these control boards were concerned with editorial matters as well as administrative matters.

In the case of the 11 presses which did not have control boards, the managements of 10 (California, Chicago, Fordham, Illinois, Johns Hopkins, Louisiana, Oklahoma, Pennsylvania, Pittsburgh, and Stanford) were responsible directly to the presidents of their universities (executive vice-president in the case of Pennsylvania, chancellors in the cases of Chicago and Pittsburgh), while the management of the eleventh, Loyola, was under the control of the Chicago Province of the Society of Jesus.

The makeup of these control boards varied widely, as might be expected. The rosters included an impressive number (24 in all) of university presidents, chancellors, vice-presidents, and provosts, as well as one president emeritus and the chairman of one university board of governors; at 7 presses the board included the two highest ranking university officials. These boards also included a generous sprinkling of deans

Table 4

CONTROL BOARDS OF AAUP MEMBER PRESSES

Press	Name of Board	No. of Members	How appointed	Term of Office
Catholic	Managing Committee	6	By Board of Trustees	1 year
Columbia	Board of Trustees	10	Elected by Board of Trustees	3 years
Cornell	Board of Directors	9	By Board of Trustees through proxies	Indefinite
Duke	Press Board	6	By President	Indefinite
Georgia	Board of Directors	4	Self-perpetuating	-
Harvard	Board of Directors	6	By vote of President and Fellows of College	1 year
Iowa State	Board of Directors	11	By President of College, and ex officio	Indefinite
Kansas	Committee on the University Press	6	By Chancellor	3 years
Kentucky	Committee on the University Press	9	By President, approved by Board of Trustees	Indefinite
Michigan	Executive Committee	7	By Regents, and ex officio	3 years
Minnesota	Committee on the Press	6	By President	Indefinite
Nebraska	Board of University Publications	7	By Chancellor	Yr. to yr.*
New Mexico	Publications Committee	8	Elected by Senate	1 year
New York	Committee on Management	6	By Chancellor	Indefinite
North Carolina	Board of Governors	17	Self-perpetuating	Indefinite
Princeton	Board of Trustees	13	Ex officio and self-perpetuating	-
Rutgers	Board of Advisers	14	By President	1 year
South Carolina	Press Committee	6	By President	Indefinite
Syracuse	Board of Directors	7	By University Chancellor	Indefinite
Toronto	Press Committee of Board of Governors	10	By Board of Governors	Indefinite
UP in Dallas	Board of Publications	8	By President	Indefinite
Washington	General Publications Board	10	By President	Indefinite
Wisconsin	University Publications Committee	10	By President	Indefinite
Yale	Governing Board	11	By University Corporation on recommendation of President	1 year*

*Usually reappointed

(28, including 2 deans emeriti and 2 associate deans), university treasurers (6, including one retired), comptrollers (4), secretaries, business managers, attorneys, etc. (13), registrars (3), directors of schools, institutes, extension divisions, etc. (10), and librarians or directors of libraries (12). The boards of 6 presses included one or more members of the university's highest governing body. These statistics may be taken as evidence of the importance attached to the operations of these presses.

Seven presses indicated they had gone off the campus to find a total of 23 board members, 16 of them alumni. Four of these presses had drawn their outside board members from the ranks of book publishers: Cornell's Board of Directors included F. S. Crofts, vice-president of Appleton-Century-Crofts; New York's Committee on Management included Cass Canfield, chairman of the board of Harper and Brothers; the Board of Trustees of the Princeton University Press included Charles Scribner, president of Charles Scribner's Sons, Whitney Darrow, vice-president of the same firm, and Curtis W. McGraw, vice-president of the McGraw-Hill Publishing Company. The Board of Advisers of Rutgers University Press, in addition to 6 university representatives, included the vice-president of a large book manufacturing concern, the president of a large paper company, the vice-president of a well-known advertising agency, and the director of the Chicago Historical Society, plus Louis C. Greene, vice-president of R. R. Bowker Co., Aaron Sussman, president of Sussman and Sugar, and Philip Van Doren Stern, author and editor.

In addition to the representation mentioned above, the boards of 20 presses included a total of 71 faculty members — department heads, professors, associate professors and assistant professors. It was also discovered with interest that the Board of Directors of The Iowa State College Press, in addition to 6 members of the college administration or faculty, included 5 undergraduate managers of student publications.

Finally, when these 24 press control boards were examined with an eye to press management representation, it was found that 63 per cent of them included as board members the managing heads of the press, with or without voting power: Catholic, Harvard, Kansas, Kentucky, Michigan, Minnesota, New Mexico, New York, Princeton, Rutgers, South Carolina, Toronto,

Washington, Wisconsin, and Yale. In one case — Yale — a second member of the press management also sat on the board.

As observed on page 63, 10 of these 24 control boards concerned themselves with editorial matters; that is, had the power to affirm, veto, or review the decisions of the press on what to publish. To put it another way, these committees were the custodians of the imprint of the press without whose authority that imprint could not be used.

As shown in Table 5, 21 other presses of the total group of 35 reported the existence of separate editorial committees, making 31 cases in all where the management of the press had the benefit of such an editorial control committee. The average editorial committee had almost 8 members, ranging from 3 to 19.

The 4 presses which had no editorial committees separate from their control boards were Loyola, Oklahoma, Pittsburgh, and Rutgers.[1] In 2 of these cases it was reported that use was made of ad hoc editorial committees.

The makeup of these committees naturally leaned more heavily in the direction of faculty members than officials of the university administration. All but one of the 31 included some professors or department heads. Three presses had only faculty members on their editorial committees (California, Harvard and Princeton).

A comparison of the memberships of the control boards and editorial committees at those presses where both groups existed revealed that in 3 cases -- North Carolina, Princeton, and Yale — all members of the editorial committee were also members of the control board; in effect, the editorial committee was a sub-committee of the control board. At Cornell and Iowa State, no members of the editorial committee were included on the control board.

Management representation on these editorial committees was found to be higher than it was on the control boards. In 23 of 31 instances, or about 74 per cent, the head of the press was a formal member, ex-officio or regular, voting or non-voting, of the committee which approved or disapproved the editorial projects submitted to the press. These 23 presses were: Catholic, Chicago, Columbia, Cornell, Duke, Fordham, Georgia, Harvard, Iowa State, Johns Hopkins, Kansas, Kentucky, Michigan, Minnesota, New Mexico, New York, Princeton, South

1. The presses at Loyola, Oklahoma, and Pittsburgh, therefore, functioned without either control boards or editorial committees.

Table 5

EDITORIAL COMMITTEES OF AAUP MEMBER PRESSES

Press	Name of Committee	No. of Members	How appointed	Term of Office
California	Editorial Com. of Academic Senate	11	By Com. on Coms. of Academic Senate	Annual*
Catholic	Same as Control Board	6		
Chicago	Board of University Publication	14	By Board of Trustees on recommendation of Chancellor	1 year
Columbia	Publication Committee	7	Elected by Trustees	3 years
Cornell	Board of Editors	5	By President on recom. of Manager	4 years
Duke	Same as Control Board	6		
Fordham	Editorial Board	10+	Contingent on position in Grad. Sch.	-
Georgia	Editorial Board	6	By President	Indefinite
Harvard	Board of Syndics	10	By vote of Pres. & Fellows of College	4 years
Illinois	University Studies General Board of Editors	4	By Dean of Graduate College	1 year
Iowa State	Manuscript Review Committee	6	By President of College	Indefinite
Johns Hopkins	The Johns Hopkins Press Committee	6	By President	Indefinite
Kansas	Same as Control Board	6		
Kentucky	Same as Control Board	9		
Louisiana	University Press Committee	7	By President	2 years
Michigan	Univ. Com. on Scholarly Publications	8	By President	3 years
Minnesota	Same as Control Board	6		
Nebraska	Same as Control Board	7		
New Mexico	Same as Control Board	19		
New York	Same as Control Board	6		
North Carolina	Manuscript Committee	6	Self-perpetuating	-
Pennsylvania	Committee on the Press	9	By President	3 years
Princeton	Editorial Board	3	By President	3 years
South Carolina	Same as Control Board	6		
Stanford	Faculty Com. on Univ. Publications	5	By Ex. Com. of Academic Council	1 year
Syracuse	Editorial Committee	7	By Board of Directors	6 years
Toronto	Advisory Committee on Publication	13	By Press Com. on nom. of President	Indefinite
UP in Dallas	Same as Control Board	8		
Washington	Graduate Publications Committee	12	By Dean of Graduate School	Indefinite
Wisconsin	Same as Control Board	10	By President	Indefinite
Yale	Committee on Publications	6	Elected by Governing Board	1 year*

*Usually reappointed

Carolina, Syracuse, Toronto, Washington, Wisconsin, and Yale. Chicago and Yale each had 2 representatives on their respective committees.

Queried about the degree of control exercised by these 31 committees, 6 presses reported that it was "advisory." The remaining 25 ascribed to their committees either absolute affirmative authority or veto power or both.

No survey of this kind would have been complete without some inquiry into the subject of academic freedom and its relationship to university press publishing. "Probably no group of publishers in the country would suffer as much as the university presses," said one university press director in 1944, "should the censorship of books become a fait accompli....We deal almost exclusively with ideas. And when censorship is rife, ideas are the first victim of it. It has always been that way, from Galileo down to Theodore Schultz who annoyed the dairy interests of Iowa..."

Except for the publication of the Schultz pamphlet on oleomargarine at Iowa State in 1943, no case involving the question of the censorship of a university press publication after its release was found during this study, although there may have been such cases. It was learned that there have been instances — not many but a few — of the triumph of "wisdom" over valor prior to publication. Universities are by their nature conservative institutions, and quite appropriately so, and it is not surprising to find that their publications reflect this temper. On the other hand, the history of university press publishing in this country contains a number of instances of vigorous, even radical (a term used relatively), publishing of materials that have contributed conspicuously to progressive thought. There have also been one or two occasions on which a press has been charged by zealous alumni with having brought out in the same year a publication that was too conservative and another that was too liberal.

Fastened to the outside wall of Bascom Hall, the University of Wisconsin's administration building which looks down from the head of the campus towards the city of Madison and towards the state capitol, is a plaque inscribed with an excerpt from a report adopted by the university's board of regents in 1894 when the community was stirred by the celebrated Ely case involving academic freedom. The plaque reads:

> "Whatever may be the limitations which trammel inquiry elsewhere, we believe that the great state University of Wisconsin should ever encourage that continual and fearless sifting and winnowing by which alone the truth can be found."

To return to the subject of university press editorial committees, the 31 presses who had editorial committees were also asked to indicate the number of manuscripts referred to these committees during the Survey Year and the number of these projects which had been accepted. The total for all 31 presses was 1011 manuscripts submitted or about 32 per press; the range was great, from 5 to 107; the median number was 20. Of these projects, 573, or about 57 per cent, were accepted; the average number accepted was $18\frac{1}{2}$ per press, ranging from 4 to 68; the median was 11.

An examination of the individual figures submitted suggested that at some presses the committees labored long and hard; for example, at one press, 107 projects were submitted and 14 accepted, at another 106 were submitted and 55 accepted, at a third 81 were submitted and 11 accepted. In many instances, this investigator learned, the committees were reading committees, with every manuscript submitted receiving at least one and usually several readings at the hands of committee members. Nor are these committees lacking in initiative for there were instances where members had acted as editorial "scouts," as well as judges.

On the other hand, 5 presses reported that all projects submitted to their committees during the Survey Year had been accepted, which suggested that in some cases the screening by the press management had been carried to a point where only those projects were submitted for which approval was requested. This investigator found that such screening was the practice at a number of presses. It was also brought to his attention that several times each year the management of a press may find it convenient, in writing a letter of rejection, to be able to fall back on the third person plural of the personal pronoun.

"A board is long, wooden, and narrow," Woodrow Wilson, himself a professor and university president, is said to have remarked. In his travels the writer visited some presses where the device of an editorial committee was obviously merely another university ritual. In other cases it was plain

that no clear concept of function or authority existed. In a few notable instances, however, a committee was found which obviously knew what it was doing and why it was doing it, and so offered concrete evidence that such a committee can be not only a desirable adjunct to a press but even indispensable.

As for the whole topic of the relations between the management of a press and the university administration, this too is a favorite one in many press and university circles and no doubt this report is expected to offer some wise and compelling views on the subject. The relations between some thirty-odd presses and their university administrations, as observed during the autumn of 1948, could be described variously as enthusiastic, contented, or tolerant—and in a few cases the battle could only be called pitched.

Again it can only be remarked that no one formula suits every situation and that each organization obviously must work out its own salvation in accordance with its own circumstances. The organizational relationship with the parent institution which functions so smoothly at X university press will not necessarily function at all at Z.

The comment quoted in the opening paragraph of this chapter was selected because it sums up the opinions of this observer, who not only endorses it but goes on to comment that there appears to be implicit in this admirable statement the assumption that the parent institution in turn will administer its authority with a deep sense of responsibility and with the requisite amount of common sense and understanding.

VI. Relations with the Scholar

"Some scholars are gentlemen, a few are good judges of whiskey, and practically all--barring a few rock-ribbed hermits--are authors."

--William Bridgwater

IT IS IN HIS CAPACITY as author that the scholar will be treated in this chapter on relations between the university press and the scholar. In that capacity, the American scholar has performed brilliantly, gratifyingly, soundly, and wretchedly. This last adverb refers to the performance of those scholars who had something to say but had not mastered the means of saying it. This investigator sampled some two hundred books submitted by the presses under study as cross-sections of the kind of publishing they were currently engaged in. Using his own editorial experience to balance his lack of knowledge in many of the fields covered, he is prepared to advance the personal opinion that a percentage, small but persistent, of these books were ineptly written. There was a failure to communicate the content which did measurable harm to its usefulness.

The high quality of many of the other volumes examined, and indeed of the fruits of American scholarship in recent years, needs no testimony from anyone. The record speaks for itself. Part of the record may be found in the lists of awards made in the name of the journalist Joseph Pulitzer since 1917. The only two categories in which the authors of university press publications are likely to win consideration are those of history and biography. In the past thirty-two years, no university press author has carried off the biography prize but four such scholars have won the history award: Samuel Flagg Bemis in 1927 for Pinckey's Treaty

(The Johns Hopkins Press); Charles McLean Andrews in 1935 for The Colonial Period of American History: The Settlements (Yale University Press); Frank Luther Mott in 1939 for A History of American Magazines (Harvard University Press); and Marcus Lee Hansen in 1941 (posthumously) for The Atlantic Migration, 1607-1860 (Harvard again).

Scholars have shown themselves capable of turning out best-sellers too. On a number of occasions in recent years sound scholarship and an ability to communicate it have been combined with energetic publishing and fortuitous timing to produce gratifying results. Among such instances were Plowman's Folly by Edward H. Faulkner, The Wave of the Past by Reuben Henry Markham, Atomic Energy for Military Purposes by Henry De Wolf Smyth and The Road to Serfdom by F. A. Hayek. There have been others.

But most frequently of all the scholar has written for publication by university presses that product of scholarship which is the keystone in the arch of university press publishing: the book that sells slowly and steadily year after year. University presses have coined a term for such a book—"saleless" wonder"—and the majority of presses appear to recognize that not only do they owe their chief responsibility but their chances of success to these books which so often make up the slow-moving, long-range nature of their kind of publishing.

What was this scholarly author himself like in 1948? As already indicated, he was in all likelihood a member of a community which was overcrowded and understaffed. He himself might have come back from the wars where his special knowledge was put to use or he might have remained at his university to assist in the special training offered on so many campuses or to engage in one of the thousands of special research projects conducted at American universities.

Back at his desk, he probably had not been able to shake off the effects of the war any more than most citizens and more than most he realized that peace would not this time mean "normalcy." If he was a nuclear physicist, he was puzzled, to say the least, to find himself feared and respected, yet ignored. If he was a humanist, he faced a struggle to maintain respect for his discipline in the fact of the tremendous new emphasis laid on science.

He was undoubtedly still underpaid and as a member of the professional "white-collar" stratum of American economic

society, he was hard-hit by the high cost of living.

He often found himself in association with a new influx of displaced scholars, exiles from Europe whose presence required an adjustment between two cultures at a moment of tension.

He was in many academic communities still required to publish or perish.[1]

In regard to his publishing problems, he was still inclined to maintain his sense of snobbery about the imprint of a commercial publisher. He found that among his colleagues there was receipt of an increasingly large number of letters of rejection from commercial publishers, whose proportion of scholarly publication was shrinking due to economic pressures, and that usually these letters advised the author to turn to a university press. But this merely made the prize more desirable and he clung to the natural belief that if he could report, casually, at the faculty club, that Harper or Macmillan or Knopf had taken his book, the fact that private enterprise was prepared to risk money on its sales prospects was bound to impress.

He still affected another form of snobbery, which took the form of a mild disdain for his fellow-scholars represented on the list of the press attached to his university, but he was duly impressed when he noticed that the list also included some pretty good authors from "outside."

He had a pretty low regard for any press which he believed "always demanded a subsidy from the author," but he was inclined to be entirely reasonable about working out the problem of underwriting when the facts and figures were explained to him.

He was, despite the foregoing manifestations of traditionalism, inclined to look with new respect on the general status of university press publishing, often had a good word to say for the job being done by the new head of his press, and was increasingly inclined to recognize the advantages of the editorial service offered by his press and the fact that it was right at hand and usually offered by someone who spoke his language—not merely the language of dollars and cents.

What, in turn, did the press hope for from the scholar at

1. At over two-thirds of the institutions visited by the writer, it was not denied that advancement was based on publication, although there was some reluctance to admit flatly that it was a requirement.

the time this Survey was made? Content, of course, came first. He had to have something to say. The press hoped for other things too, chiefly three: a knowledge of the art of writing, a familiarity with the art of book-making, and a sense of loyalty.

Mention has already been made of the shortcomings of scholarly writing, a subject so popular in recent years that a sizable bibliography could be compiled. From the written comments of university press spokesmen, two have been culled, the first from Helen Clapesattle, Editor of the University of Minnesota Press, who cited as the main duty of the responsible university press editor today to "seek out those scholars who can write clearly and readably and persuade them it is their duty to do so" and to "convince them that good popularization does not mean distortion and sensationalism, that reporting scholarship in human terms need not cheapen it or destroy its truth."

Savoie Lottinville, Director of the University of Oklahoma Press, put it another way: "Contrary to a growing opinion, skillfulness in form is not merely an ornamental feature of scholarly writing. The public insists upon it, and in this it is delivering an aesthetic judgment. The alternative to conformity to this judgment is neglect."

Two scholars who had successfully managed to avoid such neglect urged these same considerations on their fellow-authors. Dixon Wecter recently asked the question, "Does the calling of scholarship exempt a man from the canons of simple, logical, acceptable writing--writing to be read--with all the interest that can be extracted from his subject without sacrifice of quality?" He answered his own question by commenting that "a multitude of pundits do not take the pains and ingenuity—that effort above and beyond the call of scholarly duty—to strip off jargon, prune away wordiness, lighten superfluity, make some attempt to present their thoughts with a modicum of clarity, simplicity, even grace."

Another noted historian also recently blasted his fellow scholars for their neglect of the literary aspects of their craft. After commenting that too many "professors who have risen to positions of eminence by writing dull, solid, valuable monographs that nobody reads outside the profession, teach graduate students to write dull, solid, valuable monographs like theirs," Samuel Eliot Morison urged the scholarly author to keep the reader in mind. "I once asked the late Senator Beveridge," said he, "why his life of John Marshall, despite

its great length and scholarly apparatus, was so popular. He replied, 'The trouble with you professors of history is that you write for each other. I write for people almost completely ignorant of American history, as I was when I began my research.' "

The point need not be labored with further quotations. But this much attention was devoted to it because the Survey revealed a surge of complaint and demand on this score. A revolt seemed in the making, on the part of press editors, critics, readers, and, happily, many scholars themselves.

A competence in regard to the art of book-making was the second plea made to scholars at this time. Again the investigator has found all his own observations conveniently summed up by someone experienced in the field, in this case the Editor of the Columbia University Press. Here is William Bridgwater's portrait of the well-tempered university press author:

"This is the man who...can anticipate the pitfalls that lie in the production of a particular book. If he must have special Greek characters in his pages, he brings in clear and usable reproductions of them. If he needs to have runes in his edition of an Anglo-Saxon poem, he knows enough to bring the matter up and to discuss in time the best methods of getting satisfactory and inexpensive cuts. If he has special problems of bibliography or typography, he is aware of them and ready to work out solutions that will be intelligible to the reader and attractive to the beholder. He knows enough to be beyond petulance and unreason, for he has learned the limitations of type. He has gained the unhappy but useful knowledge that he has probably made mistakes and is ready to look for them in the proofs without resentment or attempts at self-justification. He is not given to flights of delusion, for he is familiar now with the esthetic as well as the practical uses of typography. He is not afraid of innovations, but he no longer has a predilection for bizarre ingenuity that breeds chaos. No more does he think publishers and printers are in a conspiracy to thwart him. He knows what his book is meant to say and will insist upon getting it said. In the typed manuscript he can see the printed book, which will have a sort of life of its own and must stand without him. He can therefore evaluate suggestions in terms of the finished product rather than his own preconceptions. He is, in fact, a competent author."

The third plea made to the scholar concerns loyalty—not to his government, but to his publisher, his university press

publisher. Howard Mumford Jones stated it bluntly in a piece called "The Scholar Can't Have It Both Ways." Mr. Jones was writing about the professor "who complains that the university presses will not publish his admirable monograph on Stesiphon [but] gives his profitable manuscript on ancient history to the commercial shop, to the eventual financial detriment of the university press...If the university has an obligation to scholarship," he concluded, "the scholar has a very real obligation to the university press."

A gentler but no less heartfelt remonstrance was to be found in a recent issue of The Pierian Spring, a bulletin issued at intervals by the University of California Press: "Not long ago we published a book for a distinguished member of our faculty. It is a good book and of sizable value to other scholars, but it does not appeal to a wide audience; therefore we printed a small edition, bound half the copies, and planned to place a few ads in scientific magazines and distribute a mailing piece. With luck we hoped to sell three or four hundred copies in the first year and to see the book go out of print in ten years. Because the edition was small, the price had to be fairly high. Because the book was not apt to be bought and displayed by stores, we did not promote it among the book trade.

"All this is standard practice at university presses, and there would ordinarily be no reason to describe it here. But our author walked into the office one day, acted unhappy about the price, and wondered why we were not planning a full-fledged trade-book campaign that might sell five or ten thousand copies. For, said he, such-and-such a trade publisher was bringing out his other book and was going to do just that. And he told us about the other book, a scholarly piece of work but of more general interest—in short, a book that might well bring both the publisher and the author a moderate profit.

"We stared at the eucalyptus grove outside our window, swallowed a couple of times, and asked the author as gently as we could why it was that professors so often take their salable books to commercial publishers and their unsalable ones to their university press and then wonder why the university press doesn't sell as many copies or pay as much royalty or run as many advertisements as the commercial publisher.

"He was surprised. A university press is not in business to make money, and he supposed that we didn't have to worry about profits or losses. And so we explained. Although the absence of profit does not bother us, we must worry about

losses. A university press is in business to break even on the publication of scholarship. Most presses have the advantage of some help from their universities, but once given this help they are expected to hold their own. And they have to do it by selling, in a fiercely competitive market, a product that was never designed for a large sale.

"If one book loses money, another must make it up. Thus if we publish some of Professor So-and-So's books at a considerable loss, we should like to have a chance at one or two of the others which might bring in a little profit. This does not mean that we want to handle secondary textbooks or light novels or extremely popular nonfiction, but there is a large class of semi-popular scholarship and authentic nonfiction of wide appeal that is appropriate to university publishing and can be handled quite adequately by us or by any of the larger university presses."

Once in the hands of a university press, the scholar-author could expect to be reimbursed for his handiwork in accordance with the costs of production and the estimated market. Sometimes his remuneration was limited to the support he had received during the research and the writing. Sometimes he not only received no return but was required to help foot the bill. Sometimes he was paid royalties—either regular royalties for each copy sold or royalties payable after a certain number of copies had been sold and the costs recovered by the press. Sometimes he sold the publication rights to the press outright for a flat sum. Sometimes he retained title to these rights and merely commissioned the press to act as his agent in manufacturing and distributing the book.

To find out what happened in this respect during the Survey Year, an analysis was made of the 727 titles published by the members of the Association during that period. The results are shown in the following table:

	No. of titles	Per cent
Royal-free	221	30.4
With royalties	232	31.9
With royalties after X copies	97	13.3
With royalties after recovery of costs	67	9.2
Outright purchase	17	2.3
Commission titles	93	12.8
Total	727	100%

In addition, the publication of 226, or 31 per cent of these 727 titles, was subsidized in one form or another, the authors themselves subsidizing 98, or 13.5 per cent. These 35 presses also reported that to the best of their knowledge the preparation of 67, or 9.2 per cent, of these 727 manuscripts, had been subsidized; that is, the authors of those 67 titles received financial assistance (other than advances against royalties) for the specific purpose of aiding the research and writing of these books.

An "advance against royalties" may be defined as a loan made to an author against anticipated earnings of his book, to be charged off later as those earnings are realized. In commercial publishing such advances have become common practice in recent years. In fact, it is safe to say that advances against royalties are made for the majority of books published, often without regard to an author's need for such a loan but merely as an earnest of the publisher's faith in the manuscript. This practice has become subject to many abuses; every year most trade publishers write off considerable sums lost when authors fail to deliver manuscripts on which advances have been made or when books published fail to earn the amount of the royalties advanced.

University press publishing was found to have adopted the custom of advancing royalties, but only to a limited extent and always under strict control. Advances are granted only rarely and always with caution.

Twenty-one of the 35 presses studied reported that they either had granted or would grant advances against royalties. In every instance, however, this admission was ringed with reservations: "only under special circumstances," "only when needed by author for secretarial or research help," "only from restricted funds advanced by agencies not connected with the State," "not to exceed estimated royalties for one year."

Twelve presses reported they did not make advances against royalties. The remaining 2 members of the Association had not formulated any policy in this matter.

Just how conservative the policies of all presses were in this respect may be seen by the fact that of the 727 titles published during the Survey Year advances against royalties had been made in only 35 cases, or 4.8 per cent. These 35 titles were published by 12 different presses, with Columbia, Chicago, and Yale accounting for 20 of them and the other 15

being scattered among California, Harvard, Iowa State, Loyola, North Carolina, Oklahoma, Pennsylvania, Princeton, and Rutgers.

When the members of the Association were queried about the value of advance royalties outstanding at the end of the Survey Year, 13 presses reported advances outstanding against 47 unpublished titles in the total amount of $34,177. Thirteen presses reported a total of $9,707 outstanding as unearned on 23 books already published.

It is the custom among a number of commercial publishers to insure the amount of advances outstanding on unpublished manuscripts against the eventuality of the author's death, but only one university press reported having adopted this practice.

As for their methods of paying royalties, again a wide range of practices was found. Five out of the 35 presses reported that they had never paid royalties in the accepted sense; their publications had either been royalty-free or the rights purchased outright for flat sums or leased from the author on a commission basis.

Of the remaining 30 presses which had paid royalties, 18 indicated that they paid on the basis of a percentage of the retail (list) price of the book. This percentage might be a fixed amount, usually 10 per cent, or it might begin at 10 per cent and scale upward as an increasing number of copies are sold, with 15 per cent the top figure. This was standard commercial publishing practice. In some cases, as was indicated in the table on page 77, these presses did not pay royalties until a fixed number of copies had been sold or the costs recovered, practices designed to reduce the losses to the presses on high-cost and/or low-sale titles.

Fifteen presses followed another commercial practice, that of paying royalties on the basis of the net amount received from sales after discounts. In these instances, the percentage usually began at 12 1/2 per cent, or in some cases 10 per cent, and when it was scaled, usually rose to a top figure of 20 per cent.

Five presses indicated they paid royalties only after the costs had been recovered, in which case the royalty was usually much higher, ranging from 35 per cent to 50 per cent of the net amounts received from sales after the recovery point had been reached.

In the matter of copyright, the predominant practice was to take out copyright in the name of the press, as will be seen in the following table:

	No. of titles	Per cent
Copyrighted by Author	56	7.7
" " Press	443	60.9
" " University	161	22.1
" " Other	18	2.5
Non-copyrighted	49	6.7
Total	727	100%

It will also be noted that 49 titles (24 of them published by one press, the rest scattered among 11 other presses), were published without copyright. In most cases, these 49 titles were importations not eligible for copyright under existing United States law.

How did the scholar fare with regard to copies of his own book? All 35 presses allowed him a certain number of free copies and made it possible for him to purchase further copies at a reduced price.

Three presses allowed the author 5 free copies, 10 of them allowed him 6 copies, 11 of them allowed him 10 copies, and 3 gave him 12 copies; the others engaged in assorted practices (the press which reported 50 copies wanted it understood that this referred only to its latest publication and was not necessarily to be regarded as a precedent). As regards the discount allowed on the purchase of additional copies of his own book, 5 presses allowed the author 20 per cent discount, 8 allowed 33 1/3 per cent, 8 allowed 40 per cent, and the rest varying percentages.

All 35 presses were asked to submit their typical author contract forms for examination. Seven presses replied that they did not have such forms, in fact, usually did not make contracts with their authors in the accepted sense; however, 3 of these indicated that they were in the process of preparing such forms. Of the other 28 presses, 16 used printed forms, 3 used mimeographed versions, and 9 typed up a prepared form for each publication. Asked when these forms had last been revised, 17 presses reported that revisions had been effected since 1941, while 7 of them had made no changes since before 1941, 2 of these none since before 1930.

The 28 forms were examined with care but nothing conclusive

can be reported except that no two of them were alike and many of them were very far apart. Some of them were simple documents designed for simple purposes, others were more elaborate, and a few were obviously patterned on the lines of contracts used by commercial publishers, including provisions for a number of subsidiary rights (translations, book club selections, movie sales, etc.). Obviously, no standard contract would fit the needs of all presses, yet in many instances the similarities in the forms examined suggested that some standardization could be achieved. It is this observer's opinion that such a move would be desirable, not only from the point of view of the press but of the author.

All members of the group were also asked to describe the points of difference over contract matters which had arisen most frequently with authors. Thirteen presses (including the 7 who used no contract form) either supplied no information in reply to this inquiry or indicated they had encountered no such differences with their authors. Another 5 indicated that these differences were so rare or varied so much with each contract that they could report nothing useful.

The remaining 17 presses had something to report. Of a total of 42 points of difference, 11 could be classified under the general heading of royalties, since they were complaints about rates, the question of whether payment should be made annually or more frequently, the lack of royalties on subsidized books (and on non-subsidized ones), and the "excessively" large number of copies exempted from royalties. As one press put it, "some of our authors just think they ought to get more money."

Next most frequently mentioned point was the charge made for alterations in proof by the author; this was reported 7 times. Differences over subsidiary rights were mentioned 5 times and the question of options on future titles 4 times. Other points listed included the number of free copies, the question of the author's responsibility in connection with indexes and illustrations, the requirement that an author must guarantee the publisher against infringement of other copyrights, the lack of any specified date of publication in the contract, the right of the press to terminate the contract after two years, the remainder policy of the press, the question of in whose name the copyright would be taken out, a clause in the contract forbidding the author to write a competing book, and so on.

The general impression created by the replies was that no major differences existed which applied to all authors and that in general, and with the expected number of exceptions, relations with authors on contractual points were smooth. The director of one press proclaimed himself and his colleagues to be reasonable folk and stated that "only an amateur publisher, or an unprincipled one, need ever quarrel over a contract."

The whole topic of relations between the scholar and the university press publisher was once summed up admirably by Dumas Malone, a distinguished scholar who had also served a term as Director of the Harvard University Press: "Any sort of publishing is a cooperative undertaking, distinctly personal in nature, but in a special sense this is true of scholarly publishing; and to a marked degree the success of a university press, both in its immediate and basic objectives, is contingent upon its ability to promote and to maintain mutual understanding between itself and scholars, whether or not they be its authors."

VII. Direction

"In their nomination to office they will not appoint to the exercise of authority as to a pitiful job, but as to a holy function."--Edmund Burke

The role of a single individual in the establishment of university presses has been touched upon. A university president, a librarian, an interested alumnus, a member of the faculty — the initiative, and sometimes the management in the beginning years, has been supplied by one of these. Certainly more than one press in its time could be regarded as the lengthened shadow of a single individual.

What was required of a university press director at the time of this study? Thirty-five years ago, George Parmly Day of Yale had sagely remarked that "no institution can fairly expect members of its faculty to do their own work and at the same time do justice to the possibilities of the press. For the development of these possibilities there is demanded the closest study and constant planning. Otherwise books may be printed but not distributed..."

Among the 35 presses participating in the Survey, the management of 22 was found to be in the hands of a full-time individual who had no outside official responsibilities. In the other 13 cases, the titular head of the press had outside duties; 9 of them carried at least a part-time teaching load[1] and the other 4 were concerned with some form of university administrative responsibility.

1. Several indicated they would not protest if relieved of these teaching burdens.

The directors of three presses which operate in accordance with Mr. Day's axiom have set forth views on the function and qualifications of a press director which may be usefully quoted here.

The first director voiced these thoughts: "A press director has of necessity to devote himself to problems of list building, to the supervision of editing, design, and production, and to many aspects of distribution. If he attempts full-time editing along with his general responsibilities, the press effort will suffer. His primary business is to achieve results in two directions: the selection of really worth-while manuscripts and acquisition of the largest possible audience for the books that are made from them."

The second director enumerated these qualifications of a good press manager:

"He must be able to get along with people.

"He must have read widely through the more important literatures from the Greeks to the present.

"He must have good judgment on manuscripts.

"He must understand and be in sympathy with sound scholarship.

"He must be aware of the importance of books and of the functions performed, or that ought to be performed, by different kinds of books.

"He must have, or be capable of developing, sound business judgment.

"He must know enough of editing, manufacturing, advertising and selling to be able to do at least one or two excellently himself and must know enough of the others to be able to employ people on his staff or outside to do them.

"He must have a strong sense of responsibility and a well-developed, versatile feeling for proportion.

"He must be willing to take orders and carry them out in good faith even when he is convinced they are wrong. Under such circumstances, he must always state his views and his reasons for them; and he must do this no matter who objects or is offended."

The third director expressed the opinion that "a man who understands academic life and objectives and who has native

intelligence and administrative ability will do a much better job (at managing a press), even though coming to the work without experience, than one who is an experienced publisher but lacks the 'feel' for scholarship."

To see how far this last view was shared by his colleagues, the heads of the other 34 presses were asked for comments. Eighteen agreed in general, 15 disagreed.

Of the 18 who agreed with this opinion, 7 were in complete agreement. The other 11 qualified their answers, e.g.,

"Probably true, although circumstances vary a great deal. In general we feel that experience with a commercial publishing house has about as many disadvantages as advantages."

"The optimum is of course a combination of business experience plus understanding of Academia. If one must choose, I should agree with the statement given above."

"Our answer is 'yes,' although previous publishing experience is certainly of great value."

"Probably true provided that the person makes the effort to learn the trade. Certainly the 'feel' is necessary. It is sometimes difficult for the commercial person to grasp. It is probably not impossible."

The saltiest responses were from those who disagreed. Of the 15 replies in disagreement, 2 were outright, the rest contained reservations. Among the latter were these:

"In any situation I would choose the man with sense. Who wouldn't if he could recognize it?"

"Everything would depend on the man, staff, university, etc. A man experienced in book publishing must know something about scholarship."

"Cannot see that this must be an 'either/or' proposition. Believe there are men with publishing background and experience who have 'feel' for scholarship. Smart academic administrator, however, will surround himself with those technically skilled to keep operations efficient."

"A specialized 'scholar' may be so limited in his interests as to lack the 'feel' for scholarship outside his specialty. An experienced businessman, however, would be terribly frustrated by University procedures."

Another perspective on the role was provided by yet another press director: "While your friends may marvel at the diversity of knowledge which comes to life because of your assistance, and may even look upon you as something of an academician because of this association, you don't kid yourself. What Macaulay said of Steele holds true in your case: 'He was a rake among scholars, and a scholar among rakes.'"

A look at the vital statistics concerning the thirty-five "rakes and scholars" who headed up these presses during the Survey Year revealed some interesting points.

Thirty of them were men, five of them were women (Jean B. Barr, Editor of the New York University Press; Porter Cowles, Acting Director of The University of North Carolina Press; Margaret S. Harding, Director of the University of Minnesota Press; Emily Schossberger, Editor of The University of Nebraska Press; and Agnes L. Starrett, Editor of the University of Pittsburgh Press).

Among both women and men, the elder statesman by a wide margin was Christian W. Dittus, Director of The Johns Hopkins Press, who had joined that organization in 1894.[2] In addition to Dr. Dittus, seven others had been engaged in university press work for at least twenty years:[3] Donald P. Bean, Director of the Stanford University Press; W. T. Couch, Director of The University of Chicago Press; Norman V. Donaldson, Managing Director of the Yale University Press; Mrs. Harding; Charles G. Proffitt, Director of the Columbia University Press; Rev. Austin G. Schmidt, S.J., Director of the Loyola University Press; and Phelps Soule, Director of the University of Pennsylvania Press.

The range in ages of the directors of the thirty-five presses was wide: from 31 to 70. The average age was 48. The heads of eight presses were 38 or younger.

2. Dr. Dittus retired soon after the end of the Survey Year. He was succeeded by Harold M. Ingle who was included as Manager of The Iowa State College Press in the Survey data submitted; Ingle was in turn succeeded at Iowa State by Marshall Townsend, who was Production Manager of that press during its Survey Year. Another major change which occurred after the end of the Survey Year was the appointment of Lambert Davis, editor of a trade publishing house, as Director of The University of North Carolina Press; Porter Cowles became Assistant Director.

3. And therefore may be regarded as "elder" statesmen despite the fact that the average of the group was only 57.

The degree of education attained by the group was high. Twelve of them were doctors of philosophy, and one was a doctor of laws, 9 held master's degrees, and 10 others had bachelors' degrees.

Their experience prior to undertaking university press publishing had been varied. It has already been noted that 13 of them still carried teaching or other university responsibilities; in all, 18 entered university press work from such positions, 14 from teaching and four from other university posts. Seven had entered upon this work directly, or almost directly, after completing their educations. Four of them had held these jobs: government agricultural agent, newspaper and magazine editor, newspaperman (2). Two had come from printing firms. Four had left commercial publishing to join the ranks of university press publishers.

By New York commercial publishing standards, these 35 university press heads in general could not be described as well paid. In most instances, their salaries were linked to the prevailing academic standard and in some cases were influenced by the regional cost of living. The average annual salary reported by the 22 directors who were full-time managers with no other duties was $7,325; the median salary was $6,725. Only 4 salaries ran to 5 digits.

Since salary was the only form of financial remuneration which could be expected in these non-profit enterprises, it seems evident that no one enters the profession of university press publishing for purposes of acquiring wealth. There are other compensations, the chief of which appear to be pride of profession, satisfaction with surroundings, and security.

This investigator was repeatedly impressed with the evidence of pride of profession which he encountered during the Survey. This self-respect was seldom mentioned and could only be sensed, yet it was there and could not be disregarded, and so it is reported.

The satisfaction with academic surroundings also was hard to measure but none the less in evidence. As Datus C. Smith, Jr., has put it, "Happily, there are people who think an academic community is—for them but not necessarily for others — an interesting and rewarding place to live, and who find that a university press offers a high challenge."

Security, on the other hand, was tangible. Many of the directors or managers of these presses enjoyed academic status, including of course those already mentioned as teaching

or holding other university positions in addition to their press duties. Some enjoyed state civil service status. Almost all could look forward to retirement under university pension systems.

Among those 22 presses which were under the direction of full-time managers with no other university duties, there were found 9 instances in which the director, and in some instances the director and other members of the staff, were accorded an assimilated academic rank. At Chicago, the director ranked as a full professor. At Oklahoma, the director ranked as a full professor and the art editor as an associate professor. At Princeton, the director ranked as a professor and the typographer as a lecturer. At Rutgers, the director ranked as a research specialist and the sales manager as an associate research specialist. At Wisconsin, the director ranked as an assistant professor. At Yale, the managing director, editor, and designer all ranked as full professors, while the assistant editor enjoys the status of assistant professor. At Cornell, Harvard, and Stanford, the directors were considered members of the faculty without specified rank.

Judging from the attitudes encountered among many university administrators during the course of this study, an increasing number of universities are realizing that if they wish to establish or maintain presses which are more than printshops or service bureaus (and many of them do not), it is necessary to place the management of these presses in the hands of full-time professionally-trained experts. They have grasped the fact that, as one commercial publisher commented recently, without doubt sound management has been a leading reason why the university press has won for itself a place of growing importance in American publishing.

In the majority of cases, university administrators would agree with the librarian of Swarthmore when he said, "University publishing is fortunate that its activities have been developed and are being carried forward — frequently on unhappily inadequate subventions and budgets and with, I suspect, the frequently more than adequate lay advice of professorial committees — by individuals with the taste, the abilities, the humor, the imagination, the concern for the intellectual life, the vision, the practical drive which its men and women have shown."

VIII. Staff

"Sir I am a true labourer: I earn that I eat, get that I wear, owe no man hate, envy no man's happiness, glad of other men's good, content with my harm...."—Corin, in As You Like It

The thirty-five university presses under study were staffed during the Survey Year by a total of 1722 persons. Whether all these individuals felt themselves to be "true labourers," like Shakespear's shepherd, or whether some felt "damned, like an ill-roasted egg, all on one side," as Touchstone remarked of Corin, remained an imponderable as far as this Survey was concerned.

Table 6 shows this total divided into full-time and part-time personnel and broken down into publishing personnel, printing plant employees, and those employed at other jobs under press jurisdiction (bookstores, mimeograph departments, university mailing services, etc.). Part-time personnel were 19.3 per cent of the publishing group, 16.4 per cent of the printing employees, and 37 per cent of the employees in other press jobs, or 21.7 per cent of the total employees.

Each press was asked to furnish certain data about its executive and non-executive personnel. Executive personnel other than the director included such employees as the associate or assistant director or manager, editor, sales manager, treasurer, accounting manager, service manager, production manager, designer, plant superintendent, etc.

Twenty-seven of the 35 presses reported a total of 115 full-time paid executive staff members other than directors. Eight presses each reported 6 employees in this class; only one press reported a larger number (13). The average was 4 1/2 per press.

Table 6

PERSONNEL OF AAUP MEMBERS, SURVEY YEAR

Type of Work	Full-time		Part-time		Total	
	No.	%	No.	%	No.	%
Publishing	552	40.9	132	35.4	684	39.7
Printing	581	43.1	114	30.6	695	40.4
	216	16.0	127	34.0	343	19.9
Total	1349	100%	373	100%	1722	100%

The other 8 presses had no such executive staff members. Four of them had no full-time executive personnel whatever, not even directors, and 4 listed only the head of the press in this category.

Of the 115 staff members so listed, 69 were men and 46 were women. The average age of 61 men giving this information was 41 1/2 years. The average age of the 41 women who gave their ages was just under 40 years. The average for these 102 executives was almost 41 years.

The average salary of the 65 men for whom salary figures were supplied was $4,982; for the 44 women reported, it was $3,416. The average salary for these 109 executives was $4,350. No hasty conclusions should be drawn from the disparity between the average salary for men and that for women, since, for instance, the data showed that relatively few women occupied positions of responsibility comparable to those of the men.

These salaries were determined in various ways. At 15 presses, the director set them; in 5 of these cases, he did so with the approval of the control board, in 2 others with the approval of the university president or financial vice-president, in one instance with the approval of the university comptroller. At 6 presses the director made his recommendation to the university board of trustees or regents or to the university budget committee, or, in one case, to the provost. At 3 presses, these salaries were set by the chancellor or president of the university. At 2 presses, the university board of trustees acted directly (in one case only on salaries over $4,500, others being acted upon by the university business manager); at

another press the university regents acted upon the recommendation of the university budget committee. State or university civil service determined these matters at 2 presses. At one press (incorporated) its own board of directors made the decision.

At 34 presses the salary scales were completely or partially geared to the university scale; only one press reported salaries adjusted completely to local publishing levels. Of the 34 geared to the university scale, 22 did so entirely, while 12 mixed their practices. Among the latter, 5 presses reported that their publishing salaries were in line with the university salaries, while their printing plant scales were adjusted to local commercial printing levels; 4 others, all located on the Eastern seaboard, indicated their salaries were geared to both, while 2 commented that their salaries are in accordance with both university and state civil service scales; the remaining one of the 12 said that its salaries represented an attempt at compromise and also were aimed in line with non-academic state employee pay.

It was noted in the previous chapter that 5 of these 35 presses were directed by women at the time of the Survey. Among executive personnel other than directors, it will be noticed, the proportion of women was higher: 40 per cent. The principal reasons offered for this were economic, psychological, and sociological: 1) women are usually willing and able to work for lower salaries; 2) women perform several publishing tasks better than men, particularly editing; 3) women enjoy the atmosphere which often goes with publishing. These explanations were variously phrased, e.g.,

> "A woman can do any job in a press that a man can and usually will for less money."

> "Women do not expect such rapid advancement as men of equal or less ability usually get."

> "At a time when young men want to be 'editors' or 'executives,' young women start modestly and show their worth in secretarial jobs."

> "Universities have discriminated badly against women teachers, but presses seem not only to tolerate them but to offer them a warm welcome."

The duties of the 115 people classed as executive personnel may be divided into five general categories: administrative, editorial, production, distribution, record-keeping, and "others."

The 16 individuals who could be classed as "administrative" included 6 associate directors (other titles: assistant director, associate manager, assistant manager); 7 administrative assistants (other titles: executive assistant, assistant to director); and 3 listed as "manager of the publication department" (one of them an assistant).

The editorial classification included 29 persons, among them 15 editors, one managing editor, and 13 associate (assistant) editors.[1]

Those concerned with production numbered 23 and included 10 production managers, 5 designers (other titles: art director, typographer), and 8 plant superintendents (managers).[2]

Concerned with some phase of distribution were 22 people, as follows: 10 sales managers, 9 advertising managers (other titles: advertising and promotion, sales promotion, sales and advertising, promotion), one educational sales manager, and 2 managers of shipping departments.

Charged with some phase of keeping records were 21 more individuals under various titles: 15 accounting managers (other titles: business manager, comptroller, assistant treasurer), 4 office managers, and 2 service managers.

The remaining 5 out of the total of 115 were responsible for some phase of press activity other than publishing and printing: 2 bookstore managers, one mimeographer, one printing office (university) manager, and one university service bureau (duplicating, mailing, etc.) manager.

In 1942, the director of a leading press commented: "It is never difficult for a university press to get pleasant, attractive, and intelligent people on its staff. It is extremely difficult to get people who have these characteristics and who also are qualified for responsible jobs." During the Survey, the head of each of the 35 presses studied was asked to describe

1. Several large presses listed editorial assistants as non-executive personnel. If the editorial personnel so listed in Table 7 were added in here, the total in this classification would be 109.

2. At the other 2 presses maintaining plants, the business manager was in charge of the plant in one case, while in the other the director himself was in charge.

his problems, current or recurrent, connected with recruiting people for such responsible (i.e., "executive") jobs.

Twelve of the 35 replied that they had no such problems; 5 did not supply any information. Among the remaining 18, 12 reported difficulty in finding experienced and capable personnel with the necessary amount of "understanding" or "interest," qualities deemed desirable or necessary to offset the low salary scales. Among the other 6, one press head remarked that since there was no local commercial publishing to speak of and therefore no opportunity for anyone to acquire local experience, he was faced with the gamble of bringing in people from the outside, while another press manager felt that this same situation at least gave the press its choice of the best local beginners. Another commented that since the size of his press did not permit "understudies," training from the ground up was necessary. One director remarked only on the scarcity of competent editors.[3] Still another replied that in his view "the only source of good experienced people is another press and we do not want to raid any of them."

Oklahoma and Princeton had each undertaken an interesting experiment which deserves specific mention: they had established fellowships or apprenticeships, "the purpose of which is to pay a graduate of the university while he or she learns in one year some of the techniques we think desirable in scholarly publishing." At the end of the year, the trainee may be eligible for a regular opening at the press if there is one; if not, the head of the press will do what he can to place the graduate elsewhere.

The Princeton training program was launched in 1939, and had a succession of 4 "fellows" before the war interrupted, and

3. W. T. Couch once supplied this definition of editorial competence in university press publishing: "In order to be a good editor, one must be a sort of suspicious unabridged human dictionary, an intelligent, self-operating ready-reference library, a compendium of good and bad English usage, and an expert at discovering what is meant when something else, or nothing, is said." It was also Mr. Couch who once spoke of the need at a university press of what he called a "scholar-printer-designer," whom he defined as "a person with a general knowledge of American, English, and European literature and history, some knowledge, not necessarily in the original languages, of the Greek and Latin classics, familiarity with the books of the great printers and publishers, some experience--but not necessarily expertness--with elementary hand process and materials, the highest degree of training, taste, and skill in book-designing, and a thorough knowledge (not a mechanic's knowledge--this is unnecessary) of how to use modern materials and machinery to get the best results."

2 since then, one of whom recently became sales manager of another press. At Oklahoma, the experiment was still new, although the director has no illusions about its value as a speedy solution to the basic problem.

This investigator has two observations to make on the entire problem of responsible personnel other than the head of a press. First, it should not be necessary to argue (but unfortunately in some instances it is) that any established press, or any press which wishes to carry out effectively and efficently its role as a publisher, has need of at least four key staff members in addition to the head of the press: an editor, a production manager, a sales and promotion manager, and an accounting manager. The director must supervise these staff members closely and be capable of guiding and assisting them in the performance of their duties. Historically, most presses have begun with the acquisition of an editor or editorial assistant to the director, have next added a production expert if the director was not already himself one, have progressed towards the realization that a specialist must be placed in charge of distribution, and have only lately realized that a qualified and responsible individual is necessary to maintain the necessary records.

Secondly, it is possible that many university presses will find it increasingly easy to recruit competent personnel from the ranks of commercial publishers during the next ten years. This opinion is based on the number of inquiries received by the Survey Office from experienced publishing personnel interested in finding university press positions, and also on the fact that several press directors who sought to fill positions during this period discovered that the applicants included a number of refugees from trade publishing who, for one reason or another (including the rising unemployment rate), wished to investigate careers in university press publishing. Despite comparatively low salaries and the absence of profit-sharing, there are signs that among many younger men and women desirous of making places for themselves in book publishing the opportunity in this particular branch of publishing is regarded as a challenging one, just as there is growing recognition within the ranks of university presses that the tasks require an increasing amount of professional skill.

The data collected on non-executive press personnel, which did not include printing plant employees, is shown in Table 7.

Table 7

NON-EXECUTIVE PERSONNEL
30 AAUP MEMBERS, SURVEY YEAR

Classification*	No. of Presses	No. of Persons	Median of Average Weekly Salaries
Assistant Editor	17	53	$ 48.00
Editorial Assistant	7	43	49.00
Manufacturing Assistant	3	6	43.00
Salesman	5	8	55.00
Promotion Assistant	14	18½	47.00
Secretary, Secretary/Steno	25	60	40.39
Stenographer	11	20	30.58
Typist, Clerk/Typist	9	25	32.00
Bookkeeper	13	21	45.00
Accounting Clerk	12	35	36.77
Billing Clerk	17	27	35.85
Office Machine Operator	4	7	36.25
Shipping Clerk,	17	32½	38.50
Stock Clerk	10	11½	34.38
General Clerk	8	16½	35.25
File Clerk	7	14	33.33
Mail Clerk	6	6	31.58
Phone Operator	5	5	38.75
Messenger/Office Boy	5	4	26.90

*Classifications reported by one press each, omitted to avoid identification:

Assistant to Director
Department Heads
Editorial Writer
Editor, Official Publications
Proof Reader
Press Fellow
Production Editor
Assistant Production Editor
Stylist
Assistant Art Editor
Assistant Sales Manager
Sales Office Manager
Sales Correspondent
Order Editor
Order Clerk
Invoice Order Checker
Pricing Clerk
Correspondent
Clerk-correspondent
Assistant to Shipping Clerk
Assistant Bookkeeper
Accounting Correspondent
Dictaphone Operator
Payroll Clerk
Maintenance Man
Janitor

Five presses in the group indicated they had no personnel in this general category. At 3 of them, the head of the press constituted the entire staff since other services were provided by other university personnel or from the outside; in the other 2 cases, the presses did not list any personnel in this category because all full-time staff members were reported as executives.

Among the other 30 presses, the number of non-executive personnel totalled 457, ranging from one to 113. The average was just over 15 per press but the median number was only 6, the number employed by 7 presses.

In considering the wage statistics shown in Table 7, it must be remembered that these 35 presses were scattered across America and that there was diversity in local wage scales and other economic conditions. In general, however, certain conditions at the time of the Survey were the same in each of the 35 communities: the cost of living was high, unemployment was non-existent, housing was scarce, and local commercial wages and salaries outstripped the university scale. These conditions, particularly the last-named, caused exasperation to many press directors intent on retaining or securing competent personnel. There were, of course, exceptions and there were mitigating factors. In several communities removed from large urban centers the cost of living had not reached the heights achieved elsewhere, the supply of personnel was adequate, and the disparity between business pay and university pay was not too great. And always it was possible in many communities to attract competent people who were willing to accept the lower pay scale in return for the other compensations previously mentioned.

Wives of graduate students, of veterans, and of faculty members also provided a supply of personnel, both part-time and full-time, temporary and permanent, on which many presses depended. In general, this supply was found to be steady and adequate. In many instances, undergraduates were employed on a part-time basis, usually in stockroom or clerical positions.

As in the case of executive personnel, the salaries of the employees in this category were determined in various ways. At 15 presses, the director set them, either on his own, or with the assistance of key staff members, or with the approval of the control board of the university administration. At 4 presses, the university board of trustees (or regents or governors,

as the case might be) determined the scale, on the recommendation of the university budget committee or the director of the press and/or the president or vice-president of the university. At one press, the provost of the university made the decision on the recommendation of the press director and at another the press control board decided in conjunction with the university administration. At 6 presses, these matters were determined by a key university business officer, with or without the recommendation of the director. In 3 cases, state or university civil service scales set the pattern.

Data on the personnel practices of these 35 presses were also solicited. No useful information could be supplied by 3 presses.

The official number of hours and days worked each week at the remaining 32 presses will be found in the following table:

	No. of Presses	Hours per week
5 days per week:		
7-hour day	4	35
7 1/2-hour day	6	37 1/2
8-hour day	9	40
5 1/2 days per week:		
6 3/4-hour day, 3 hours Saturday	1	36 3/4
7-hour day, 3 hours Saturday	1	38
7-hour day, 3 1/2 hours Saturday	3	38 1/2
7-hour day, 4 hours Saturday	3	39
7 1/2-hour day, 4 hours Saturday	2	41
8-hour day, 4 hours Saturday	3	44
No information	3	
Total	35	

It can be seen that the five-day week was favored by 18 presses, while 13 required employees to report on Saturday. Additional facts not shown: 1) 2 presses which worked 37 1/2 hours per week and one which worked 38 hours per week reported that they dropped back to 35 hours during the summer months; 2) at one press on a 40-hour week, the editorial department worked 4 hours additionally on Saturdays.

The vacation policies of these 32 presses are shown in the table at the head of the next page:

	No. of Presses
1 day per month	2
1 1/2 days each four weeks or month	3
1 week to 3 weeks	1
2 weeks	14
2 weeks to 4 weeks or one month	2
14 working days	1
15 working days	2
3 weeks	6
22 working days	1
No information	3
Total	35

Addition facts not shown in the above table: 1) 8 presses indicated they granted no vacations until after a certain period of employment—6 months, 11 months, or one year; 2) 9 presses reported they granted longer vacations after certain periods of service—one year, 2 years, 3 years, 5, 10, or 20 years (in 3 cases on a sliding scale).

Sick leave policies are tabulated in the following table:

	No. of Presses
1 day per month	6
1 1/2 days per month	1
2 days per month	1
1 week per year	2
7 days per year	1
10 days per year	2
2 weeks per year	4
30 days after one year	1
3 months after three years	1
Unspecified	7
No policy	6
No information	3
Total	35

"Unspecified" includes such replies as "flexible," "liberal," "on individual basis," "everyone entitled to sick leave," "no deduction for such absences," "reasonable period, probably one month." Several of the presses with specific policies also indicated that their decisions were lenient, or that leave could be extended in special cases, etc. Additional fact not shown: 5 presses set limitations as follows—to 150 days, to 10 days the first year, to 3 weeks, to a half year with pay and another half-year at half-pay for academic people, and to 100 days.

The majority of presses paid no overtime or had no policy in this matter, as will be seen in this table:

	No. of Presses
Time and a half pay	3
Time and a half pay over 40 hours per week or over 8 hours in a day	3
Time and a half pay and time off for Saturday work	1
Usually offset by time off	1
Can pay at same rate of pay	2
Usually only to clerical employees	1
Supper money given	1
No overtime	9
No policy	11
No information	3
Total	35

Not shown is the fact that one press which paid time and a half did did so only to employees other than editorial, who received time off instead.

It was not found practicable to tabulate the policies of these presses in regard to holidays, since the replies to this question were too diverse. It can be reported that no press appears to give fewer than the legal or statutory holidays (including any special state holidays), some observe special religious holidays, at least two offer extra time at Christmas, and at least nine follow the policies laid down by the parent institution.

Policies with regard to separation pay are found tabulated in the following table and need no further comment:

	No. of Presses
Accumulated vacation	10
Two weeks' notice or pay	4
14 days accrued leave	1
One month's pay for employee of over one year	1
Salary stopped as of date of resignation	1
Retirement contributions returned	2
No separation pay given	2
No policy	11
No information	3
Total	35

The variety of retirement policies in effect at the time of the Survey also made it impossible to present this information in tabular form. In the majority of cases, some form of contributory scheme was in operation, with the press or the university, or in some cases the state, matching or exceeding the employee's contribution. At some presses, these plans were optional, in others obligatory. In at least 4 instances, membership in the Teachers Insurance and Annuity Association was in effect. In a few instances, separate policies existed for executive personnel. The university's pension plan applied in at least 5 cases. One press indicated its employees came under federal social security. The retirement ages, when mentioned, ranged from 55 to 70, with 65 most frequently reported. Four presses had no policies in effect, while 6 others reported that plans were under advisement or that existing arrangements were being revised.

Insurance practices are shown in the table opposite. Additional facts not shown: 1) at 2 presses, life insurance was compulsory; 2) at 4 presses, life insurance premiums were paid for the employee in whole or in part by the press. One press located in a dry region reported, "Our two Coca Cola machines...guarantee one full week of simple (board and room) hospitalization, or $25 against medical bill in event of Blue Cross, for all full-time employees."

	No. of Presses
Group life insurance (press)	8
Group life insurance (university)	7
Group hospital and/or medical insurance (press)	15
Group hospital and/or medical insurance (university)	6
None	8
No information	3

Among commercial publishers, it is common practice to pay all employees a regular annual bonus (customarily at Christmas); this bonus is usually based on volume of business and is computed as a percentage of earnings. Only 2 presses in the group followed this practice during the Survey Year.

On the other hand, cost-of-living bonuses had been given during the Survey Year at 10 presses and cost-of-living salary increases had been made at 4 presses. In 5 instances, this was part of an overall university policy.

Nineteen presses of the 32 reporting indicated that these personnel practices were determined by their universities. Six reported that they were decided by the press. Four answered that policies were set by the press and the university, jointly or separately, according to subject.

The same questionnaire which solicited the information on personnel practices tabulated in the foregoing pages also provided the head of each press with an opportunity to describe any special circumstances pertaining to the working conditions at his press and to give any views he might have on improving any of the practices listed. Only 15 of the 32 press heads reporting availed themselves of this opportunity.

Two directors would like to change to the five-day week; one of these saw little prospect of such a change since his press was a division of the university and the university was on a 5 1/2 day week. This obligation to follow university practices also handicaps 2 other directors who would like to institute changes; one did not specify the nature of these changes, the other recorded himself in favor of an annual Christmas bonus and a retirement program for his clerical staff. The need for

a retirement program was cited by another director as a matter under consideration.

Low salaries were noted with concern by 4 directors. One of these cited the fact that his university's scale was very low and also indicated that he was trying to achieve "professional" status for some members of his staff, rather than their present clerical rank; the second indicated that he was constantly seeking pay raises for his staff from the university and so far had been successful, while the third reported that raises were being granted as the volume of business grew; the fourth spoke of competition for clerical help with local business firms whose higher wage scales had given them an advantage. Another director indicated that the Survey found his press engaged in conversations with the university for purposes of reviewing all personnel procedures.

The fact that the location of the press building had made it desirable to provide lunch facilities for employees was mentioned by 2 press heads; one of them commented also that the press was considering the purchase a station wagon for local book deliveries and to provide noon-hour bus service for employees when feasible.[4] Two other directors cheerfully described the working conditions at their presses as excellent in every respect. Another made no bones about his dissatisfaction: he said that the policies at his press were in many ways barbaric and could not be excused on any grounds whatever in a civilized society, and that he saw no prospect of changing them until the university administration changed its ways.

It will be remembered that when the heads of these 35 presses were asked to list their most pressing problems, 9 of them included lack of adequate space. This investigator found some 15 presses housed in buildings set aside for that purpose 8 of them maintained printing plants): California, Chicago, Cornell, Georgia, Harvard, Iowa State, Loyola, Oklahoma, Pennsylvania, Princeton, Rutgers, Stanford, Syracuse, Toronto, and Yale. Three of these presses were among those which complained about lack of space, so a separate building was apparently not necessarily the final solution to the problem. However,

4. The writer noted on his travels that at least two presses owned automobiles, while at a third transportation for executive personnel could be requisitioned from the university garage on occasion. A fourth press was attached to a university which has an enormous flying field but apparently the press management had not availed itself of the opportunity to travel by university plane.

there can be no doubt that a press which was housed in as modern and efficient a manner as, say, the University of Oklahoma Press, was better equipped to perform its functions.

At the other extreme, there were observed a few real hardship cases where cramped and unsatisfactory quarters were seriously hampering effective operation. Between these extremes were a number of presses comfortably and adequately located in university buildings.

The intangible known as morale often distinguishes between "true labourers" and "ill-roasted eggs." At the university presses visited by this observer, morale appeared to depend on four factors: 1) pride of profession; 2) response to leadership; 3) satisfactory working conditions; and 4) a sense of integration with the larger purpose of the parent institution. Where these factors were present, morale was usually high. Where they were absent, it was usually low.

IX. What To Publish?

"The University Press, of all presses in the world, cannot discharge its real function, its real and its distinctive functions, except by a process of continuous and rigid selection and discrimination."—Lord Oxford and Asquith

A book publisher, university or otherwise, must perform four major tasks: he must assemble a list of books to publish, he must control, directly or indirectly, the physical production of these books, he must also control, directly or otherwise, their distribution, and he must keep records.

The "list"—which is the answer each publisher makes each year to the question of what to publish—is obviously the heart of the enterprise. It will do a university press little good to be able to design and manufacture with excellence, or to distribute with competence, or to keep records which reveal vital information at a glance, if it has not assembled a list of books worthy of these efforts.

Among the presses studied, some had achieved "balanced" lists, others had preferred to specialize. The handiest example of the latter was Loyola which during the Survey Year published only textbooks. Other examples were the Michigan list which was made up of specialized scholarly publications, many of them in series, and the New Mexico list which was devoted largely to the materials of its region.

Among the presses whose lists had obviously achieved a marked degree of balance were Chicago, Columbia, Cornell, Harvard, Minnesota, North Carolina, Oklahoma, Pennsylvania, Princeton, Rutgers, Stanford, and Yale. The director of one of the latter once summed up this question of balance this way: "Values are often attached to manuscripts that are not by any

means universal, which is another way of saying that, in the beginning, most of us ride our interests and look too little to a rounded program...For a time we devote ourselves to 'contributions' regardless of audience. Then by degrees we arrive at the idea of a balanced list, in which both the particularist and more general claims are given their just place and weight. A university press is not merely a means to the publication of worth-while scholarship, but a tremendously effective tool in adult education and public affairs."

Between the presses with balanced lists and those which pursued special bents lay a number of presses, mostly younger and less well established, which were striving towards balance. The process was not always an easy one. "To a great extent," said one observer, "the slowness with which university presses developed as an acknowledged force in the book publishing world can be attributed to neglect of list making, due in great part to the dual nature of press organization, in which a director was not given freedom or in which a well-meaning faculty committee, expert on everything but the art of publishing, determined the kind of publishing." A perceptive university president cited another handicap: "Many of the difficulties of university presses come from the dominant pattern of professional and institutional advancement in the world of scholarship and university education. This pattern creates artificial, pretentious, and unjustifiable publishing needs."

It has already been suggested that the kind of publishing most suitable to university presses limits them to books of intrinsic value, rather than immediate appeal, books selected because they will endure, rather than because they will sell well, although the latter blessing has been known to occur. For his own edification, and that of his staff, the director of one press several years ago drew up a table showing in sales terms the kind of books which might be included in an annual program:

"Class I. Books of very limited interest. Sales possibilities of 75 to 300 in the first 4 or 5 years.

Class II. Books of limited interest. Sales possibilities of 300 to 1,500 copies in 4 or 5 years.

Class III. Border-line books. Sales possibilities of 1,500 to 3,000 in the first 2 or 3 years.

Class IV. Semi-popular books. Sales possibilities of 3,000 to 10,000 in the first 2 or 3 years."

He then went on to say: "One university press may choose to limit its publishing to the issuance of books in Classes I and II. Some may choose to go into III and IV. Some go into textbooks or other kinds of publishing. All will issue books in I and II."

Whether a press should attempt publishing in Classes other than I and II, and if so, what to do in them, could only be determined, he felt, by these factors:

"The purposes it is attempting to serve.

"The manuscripts it can get.

"The ways in which publishing in one Class can be made to fit in with and support publishing in another.

"The capital and other funds it has available.

"The experience and qualifications of its staff.

"Its need for a full, well-rounded schedule."

No attempt was made to classify in accordance with the above table the 727 books published by the members of the Association during the Survey Year, but each press was asked to identify its book publications in accordance with certain other classifications. These classifications are shown in Table 8 which contains the composite results.

A study of the table reveals several interesting points: 1) some 508 titles, or almost 70 per cent of the total, were classified in the fields of the humanities and the social sciences, as against 102 book publications, or about 14 per cent, in the biological and physical sciences; 2) only 80 titles, or 11 per cent of the total, were classified as textbooks, either college or elementary and secondary; 3) only 23 titles, or 3.2 per cent of the total, were classified as fiction, verse, or drama.

Said Donald P. Bean in his 1929 report: "Book publishing is a much larger factor in the humanities and social sciences than periodicals, largely because of the average length of the manuscripts and the wider reading audience in these fields. The opposite situation is strikingly apparent in the scientific groups..."

It was still true in 1948 that the results of scholarly investigation in the sciences could often be contained in manuscripts

TABLE 8

BOOK TITLES PUBLISHED IN SURVEY YEAR BY AAUP MEMBERS:
EDITORIAL CLASSIFICATIONS AND DISCIPLINES

	Humanities		Social Sciences		Biological Sciences		Physical Sciences		Miscel-laneous		Total	
	No. of Titles	Per Cent	No. of Titles	Per Cent	No. of Titles	Per Cent	No. of Titles	Per Cent	No. of Titles	Per Cent	No. of Titles	Per Cent
1. Scholarly	199	73.2	176	74.6	36	63.2	30	66.7	79	67.5	520	71.5
2. Text: college	14	5.1	29	12.3	10	17.5	8	17.8	6	5.1	67	9.2
3. Text: elem. & high	2	.7	6	2.5	0	-	0	-	5	4.3	13	1.8
4. Reference	16	5.9	9	3.8	6	10.5	7	15.6	6	5.1	44	6.0
5. Fiction, verse, drama	18	6.6	0	-	1	1.8	0	-	4	3.4	23	3.2
6. Miscellaneous	23	8.5	16	6.8	4	7.0	0	-	17	14.5	60	8.3
Total	272	100%	236	100%	57	100%	45	100%	117	100%	727	100%

of such comparative brevity and limited appeal that publication was more suitably effected through periodicals than through books. This point was affirmed repeatedly in discussions with the writer by both university press representatives and by scholars. Several of these sources also offered the explanation that a number of commercial firms specializing in scientific and technical publishing had established such high reputations, offered such superior distribution facilities, and did such active scouting for publications in these fields that many authors were likely to look to them first.

It should be reported, however, that at least two presses have lately added to their editorial staffs specialists whose function is to strengthen the lists of these presses in the fields of science. These moves have been made in recognition of the urge, accentuated by World War II, among the educated public to know more about the latest advances in science, as well as in the belief that scientific knowledge need not be debased in order to spread it widely.[1]

The chief reason that university presses had not engaged in more textbook publishing was the wide-spread belief on their part that this task is best left to the large commercial houses which are equipped with marketing facilities far beyond the means of most presses. This does not mean that university presses had hesitated to enter this field when they felt that they might appropriately specialize (cf. Loyola and Iowa State) or when they believed that they could perform useful experiments not likely to be undertaken by commercial houses (cf. Chicago). Nor did it mean that a press would refuse to publish a textbook produced on its own campus and designed primarily to fulfill a local need nor would it neglect the subsidiary text markets for many of its general scholarly publications. But it did mean that with these exceptions, no press at the time of the Survey appeared to be engaged in a program of general textbook publishing as such. In fact, it was learned that one press, upon discovering that a far greater textbook

1. The case for increased publication by university presses of scientific popularizations, along with their first responsibility of publishing the primary results of fundamental research, has been admirably stated by Herbert S. Bailey, Jr., science editor of the Princeton University Press, in a recent article in The Scientific Monthly. Mr. Bailey added that "the most important and most difficult part of publishing a good popular scientific book is to persuade a scientist to write it. Any geneticist who wants to refute this statement by writing a popular book on the nature of race will please step forward."

market existed for several of its recent publications than had been expected, had in fairness to the author and in acknowledgment of its own limitations turned over the rights to commercial houses equipped to exploit larger audiences.

The fields of fiction, verse, and drama also have apparently been renounced or avoided by most presses as being outside their proper spheres of interest. Again local or regional needs have provided most of the exceptions (cf. North Carolina's publications in the field of fiction and drama) or else some special service to American letters has been performed (cd. Yale's annual Series of Younger Poets).

Several facts not brought out in Table 8: 1) of the total 727 publications, 191, or 26.2 per cent, were published in various scholarly series (departmental or otherwise) by 27 different presses; 2) some 33 titles were published under subsidiary imprints: Columbia issued 27 titles (of its total of 80) under the imprint of King's Crown Press and Cornell issued 6 titles (of its total of 20) under the imprint of the Comstock Publishing Company; 3) in addition to these 727 book publications, 11 presses reported a total of 56 pamphlets (29 of which were reported by a single press).

To discover the main sources of these 727 titles, and the means by which the manuscripts had come to the presses, each was asked to provide the information which is presented in composite form in Table 9.

Among the points revealed: 1) some 433 titles, or almost 60 per cent of the total, came from the institutions to which these presses were attached; 2) another 118 titles, or 16 per cent of the total, came from other universities, i.e., a total of 551 titles, or almost 76 per cent of the books brought out during the Survey Year by these presses, came from educational institutions; 3) 229, or 31.5 per cent of these titles, either originated with these presses or were sought out by them.

Additional facts not revealed in this table: 1) 14 of these 35 presses indicated that over 50 per cent of their Survey Year lists were made up of publications from their own universities; 6 of these presses further disclosed that all their publications during that period (a total of 22 titles) had come from their own universities, while 3 presses reported that none of their publications that year (9 in all) had come from their own universities); 2) among the 76 books which came from miscellaneous sources were 7, or slightly under one per cent of the

TABLE 9

BOOK TITLES PUBLISHED IN SURVEY YEAR BY AAUP MEMBERS:
SOURCES OF MANUSCRIPTS

Source	Direct from Authors					Obtained Indirectly						
	Originated	Solicited	Unsolicited	Total	Per Cent	Originated	Solicited	Unsolicited	Total	Per Cent	Total	Per Cent
Own university	20	44	279	343	66.6	8	29	53	90	42.4	433	59.6
Other universities	5	20	50	75	14.6	6	17	20	43	20.3	118	16.2
Foundations	0	0	5	5	1.0	2	7	11	20	9.4	25	3.4
Other outside organizations	3	9	17	29	5.6	1	5	10	16	7.5	45	6.2
Foreign	0	2	2	4	0.8	4	12	10	26	12.3	30	4.1
Miscellaneous	9	22	28	59	11.4	2	2	13	17	8.0	76	10.4
Total	37	97	381	515	100%	23	72	117	212	100%	727	100%

total books published during that period, which had come through literary agents;[2] 3) among the 45 titles which had come in from "other outside sources" were 40 which were subsequently issued under joint imprints as follows:

1. California:	Haynes Foundation	1
2. Chicago:	Newberry Library	1
3. Columbia:	American Geographical Society	1
	American Musicological Society	1
	National Conference of Social Work	1
	National Society for the Prevention of Blindness	1
	Welfare Council of New York City	1
4. Cornell:	New School for Social Research	3
5. Fordham:	Declan X. McMullen Company	2
6. Harvard:	The Harvard-Yenching Institute	6
	The American Institute in the University of Upsala, Sweden	1
	Instituttat for Sammenlignende Kulturforskning, Oslo, Norway	2
	The American School for Classical Studies, Athens, Greece	2
	Harvard College Library	1
7. Louisiana:	Littlefield Fund for Southern History, University of Texas	2
8. Minnesota:	Industrial Relations Center, University of Minnesota	3
	Hormel Institute	1
9. North Carolina:	Institute of Early American History and Culture	1
10. Pennsylvania:	American Historical Association	1
	Temple University	1
11. Princeton:	American-Scandinavian Foundation	2

2. Additional data submitted indicated that these 7 titles were accepted from among 197 manuscripts submitted by agents to 12 presses during this period and that two-thirds of these 197 manuscripts were submitted to 2 presses (neither of them too far removed from New York).

12. Rutgers:	Abraham Lincoln Association	1
	Sino-International Economic Research Center	1
13. Syracuse:	Howell, Soskin, Inc.	1
14. Yale:	Institute of Pacific Relations	1
	Esco Foundation for Palestine	1

Other inquiries about the sources of the 727 books brought out two more facts of interest: 1) the number of dissertations published in the form in which they were submitted in fulfillment of the qualifications for doctorates, rather than as revised for publication in a more general form, ran to 118, or 16.2 per cent of the total; these 118 dissertations were published, however, by only 7 presses and 109 of them were published by 2 presses; 2) the number of "mandated" books published by these presses (titles which the press was obliged to bring out without full control over the decision as part of the university's obligations) ran to 56, or 7.7 per cent of the total, including departmental and other series titles but not including dissertations; these 56 titles were issued by 13 different presses, no one of which brought out more than 8 (and these were in departmental series).

It appeared that only two universities in the group still required full publication in fulfillment of the requirements for a doctoral degree. The burden of publication of this kind had been lifted from the shoulders of the majority of the presses studied.

The question of whether partial or full publication should still be required remained a controversial one. The Bean report had this to say on the subject: "The economic strain on the individual student was largely responsible for connivance in the non-enforcement of the rule and finally for the adoption in many institutions of alternative plans...An extension of existing facilities for the publication of the highest grade of doctoral dissertations by commercial publishers and university presses, on the basis of real merit both from the publishing and scientific point of view, might however lead eventually to more adequate solution of the dissertation problem."

A university press director had this to say on the subject in 1942: "It is utter tomfoolery to demand that every doctoral thesis be published; the universities still mothering this

practice are fighting for a cause which common sense would in time have defeated had not governmental priorities on paper come along to speed the finish, and, happily, our university presses were among the first to frown upon this publish-or-bust tendency among the Ph.D.'s."

A scholar in 1945 (in reference to William James' celebrated attack on the three-letter fetish): "James was inspired when he spoke of an octopus: that describes its flabbiness, its ubiquity, and the squirting of ink which is its main reflex."

A university president in 1947: "'The grass withereth and the flower fadeth,' but not as rapidly as last year's Ph.D. dissertation... The Ph.D. dissertation or thesis should be defined as evidence of ability to do independent work. If this definition is accepted, it follows that the Ph.D. dissertation need not be published as such. The publishing needs of scholarship do not now include the publication of all Ph.D. dissertations."

While only two presses were found to be still engaged heavily in the specialized function of publishing dissertations, many others in the group exhibited other special interests. Data on these interests were gathered by asking each director to describe any bias the press might have in favor of regional literature or particular fields of science or the humanities, etc. The replies to this query offer so interesting and valuable a picture of the individual editorial interests of these presses that they are quoted herewith:

1. California: "Emphasis is placed on the selection of books having to do with the Pacific Basin which, of course, includes California. However, these interests do not exclude books on any subject which are deemed worthy of publication."

2. Catholic: "Canon Law, Social Science, Theology, Education, Religion, History."

3. Chicago: "Our main interest is in books discussing basic values, and the problem of the good citizen, both on a technical, philosophical level and on a level accessible to the general literate reader. The scarcity of books of this sort on our list is, we believe, an expression that such discussions are at present not fashionable."

4. Columbia: "A reference-book program, now comprising four titles, others in contemplation. Lists in social work and psychiatry have received more concentrated

editorial attention than any others. Bias in favor of New York regional material. Most publications drawn from social sciences and humanities. One strong series in biological sciences; few titles in physical sciences. No poetry, no fiction, no juveniles, no travel books, personal reminiscences only in exceptional instances."

5. Cornell: "History of Science (History of Science Series), Books on Biological Science (by long tradition), History, Civil Liberty."

6. Duke: "No particular bias; the Press tries to vary its list as much as is possible for so small an organization. We publish more books in English, history, and the social sciences than in other fields merely because we receive more and better manuscripts in these fields."

7. Fordham: "Scholarly monographs, Texts in History, Philosophy, Physical or Social Sciences, Religious Books."

8. Georgia: "General scholarly works, leaning toward regional."

9. Harvard: "There is no particular bias discernible in favor of any one of the fields of learning. We attempt to publish the best scholarly work submitted to us no matter what its subject may be. We are regional publishers in that we endeavor to publish good books on New England whenever we can, but the commercial publishers also are interested in this field and leave us less scope than certain other Presses have."

10. Illinois: "Social science, biological and medical science, language and literature."

11. Iowa State: "Books of merit in the fields stressed at our institution — Science, Agriculture, Veterinary Medicine, Engineering, Home Economics — plus some books of regional nature."

12. Johns Hopkins: "Interested in considering for publication any worthy manuscript the subject matter of which comes within the fields of teaching and research included in The Johns Hopkins University program. Interested in, but does not stress, development of regional literature."

13. Kansas: "We do not have any particular bias, being ready to accept material in either the sciences or the humanities if it is of sufficient merit. Regional material would

interest us, too, but not merely because it is regional. We do not publish fiction or verse at present."

14. Kentucky: "The press considers especially within its province books dealing with the state of Kentucky, the mountain areas of West Virginia, Kentucky, and Tennessee, and the Ohio Valley region. There is no special bias as between fields of knowledge."

15. Louisiana: "The press places emphasis upon work dealing with Louisiana and the South but not to the exclusion of other scholarly studies. As this plan has worked out, there have been more books on history than in any other field."

16. Loyola: "The Press is interested in publishing only textbooks intended for use in Catholic elementary, high schools and colleges."

17. Michigan: "The major series (Humanistic; Language and Literature; History and Political Science; Legal Studies; Linguistics; Scientific) indicate primary interests. Pamphlet series in zoology, government, business, industrial relations, mathematics, anthropology are voluminous. Also publish regional materials."

18. Minnesota: "Our only 'bias' is toward regional material. In considering the work of any writer, there is a presumption in his favor if the manuscript describes this region. Strictly speaking, our attitude is more an 'obligation' than a 'bias.' We feel obligated in our publishing program to represent the region and the various nationality groups of the region."

19. Nebraska: "Special: history, biography, preferably of themes connected with the state of Nebraska; folklore, literature of the Great Plains, economics, education."

20. New Mexico: "We call ourselves regional publishers, with our field the Rocky Mountain Region. Our policy is to give preference to regional material, but we do not favor any particular field."

21. New York: "Our editorial interests are as wide as the field of scholarship."

22. North Carolina: "The Press strongly favors manuscripts of a regional nature and has published in this field everything from a natural science primer for the region to

fiction with a southern regional background. Our list is still strongly regional but now includes more general interest trade items than formerly...Practically no interest in physical sciences, and biological science interest limited to specific fields of University professors."

23. Oklahoma: "The civilization and culture of the American Indian (both North and South America); American exploration and travel (including the contemporary era); the Gulf Southwest; the humanities in general, but with special emphasis upon contemporary cultural interpretation of the U. S. as a whole; agriculture, both theoretical and applied; Western Americana; Latin Americana; American literature; bibliography."

24. Pennsylvania: "History, with emphasis on the local scene; industrial research, Romance languages; bibliography."

25. Pittsburgh: "Americana concerning Pennsylvania west of the mountains and the upper Ohio Valley."

26. Princeton: "Advanced mathematics and statistics, art history, naval history, history of ideas, public opinion, Arabic studies, Kierkegaard, 18th Century America, monographic science, esthetics."

27. Rutgers: "American history and biography, agricultural science, the useful arts."

28. South Carolina: "We are particularly interested in regional literature, regional historical material and other manuscripts, the publication of which would contribute to the preservation of regional culture. We are also particularly interested in publishing searching studies of state and regional problems. Of course, we are glad when we have a chance to add something to scholarship in any field."

29. Stanford: "Usual scholarly publishing plus an interest in regional western literature and publications about the Pacific Basin."

30. Syracuse: "Books interpreting scholarly ideas for educated laymen. Special interest in bibliographies. Supplementary works for college use."

31. Toronto: "Though our Press has no bias towards any fields that come within our scope, in the past five years we have published most often in the social sciences — history,

economics, political science, sociology, in that order. A series of texts in advanced mathematics is a feature of our list."

32. University Press in Dallas: "History of science, especially in Southwest; Southwestern folklore, folk songs, and drama; Southwestern history; Mexico—folklore and literature; Botany, with emphasis on Texas; philosophy; literary criticism, contemporary; geography.

33. Washington: "Regional material is given special consideration, but no effort is made to restrict our offerings to such items. Material offered by our own faculty takes precedence over offerings by outsiders."

34. Wisconsin: "Although our list is small...it represents the University pretty well. Because this University is disproportionately strong in the natural sciences, our list is similarly unbalanced."

35. Yale: "(Especial): International relations, government, economics and politics, history, biography, literature, broad regional studies, general science. (General interests are more comprehensive.)"

For some years, it had been apparent that university presses could fill an important role as "intellectual clearing houses for their areas." The director of one outstanding regional press recently pointed out that "some of the richest resources and opportunities for scholarship are regional in character, and ... are worthy of the best and most creative talent of lay and academic researchers and writers."

This case was extended by a scholar whose own publications had gone far to prove the foregoing point: "Regionalism is more than crude geographic determinism. It is much more than provincial quaintness. Regions exist because of the ways in which human culture interacts with the natural environment. The boundaries of regions are flexible, expanding or contracting according to the particular problem in view, whether it be industry, subsistence, minerals, education, or politics. Within any region, human activity must be related to the general biological principle that life and environment are inseparable and interdependent parts of a whole."

Responsible regional publishing, with and without all the refinements suggested above, had definitely become a major

achievements of American university presses by the time this study was undertaken.[3]

"Written scholarship has a task to perform in the world," said Savoie Lottinville in 1948, "and it will perform it only by being worthy of its responsibility. In the final analysis, that means the power to challenge human minds and to set imaginations stirring."

To assist the scholar in this task there stands the university press editor, an individual who needs to be far more than a proofreader and far, far more than the talent scout who in many commercial houses today goes by the misnomer of "editor." One description of the qualifications of a university press editor has already been provided and Helen Clapesattle's remarks also are to the point here again: "He must seek out those scholars who can write clearly and readably and persuade them it is their duty to do so. He must convince them that good popularization does not mean distortion and sensationalism, that reporting scholarship in human terms need not cheapen it or destroy its truth. If the authors will let him, he can do much to prove his points with the manuscripts that come to his desk. Some of them are irrevocably for the specialist alone, and rightly so, but others can be made to serve a much wider circle ... All this assumes, of course, that the press editor is a competent specialist in his own business. He should be at home with scholars, yet know what is going on in the world outside the campus; he should be able to think as well as to write."

The editorial services in this description are not merely an ideal but have been put into action at many American university presses, as this observer had ample opportunity to witness. In fact, such editorial services are so well established in the framework of the majority of these presses that when each of the directors was asked to write down the services offered by his press at the time of the Survey, one replied: "The kind of thing that is customary with an American university press: that is, adequate readings by specialists, extensive reports to authors, frequently an infinite amount of pains to get a good idea finally shaped for publication."

3. Said the Cheney report in 1931: "The idea of making America book-conscious must be modified by the fact that different sections are differently unconscious."

It was quite apparent, moreover, from an examination of the other replies, that this director's use of the word "customary" was well-advised. These publishers regarded their obligations to scholarship no less highly (and frequently more highly) than did scholars themselves. Constructive criticism and expert advice, practical assistance even to the point of rewriting, careful style editing, and repeated readings in proof, were the rule, rather than the exception.

These obligations were reflected further when an examination was made of the method of handling submissions at each of these 35 presses. If the procedures reported were actually practiced, and were not merely theoretical, very few manuscripts are accepted for publication by a university press without a minimum of three careful readings.

With minor variations, the standard procedure reported by these presses ran like this:

a) the submission of the manuscript was recorded and receipt was acknowledged to the author;

b) it was read by one or more members of the press staff;

c) it was read by one or more outside experts in the field of its subject;

d) its production and distribution problems were analyzed by the staff of the press;

e) it was presented to the editorial committee of the press with reports and plans.

f) action was taken by the committee on the basis of these reports and recommendations, or it was read by one or more members of the editorial committee and then action was taken.

Naturally, this process might be halted at some point by rejection, although in a few instances rejections had also to be approved by the editorial committee. It can be readily seen that so complete a process of screening, if properly administered and adhered to, was bound to reduce the chances of publishing inferior manuscripts.

These chances were presumably reduced still further by the device of using "outside" readers — that is, qualified readers other than members of the press staff or the editorial committee — which was commonplace. Thirty presses reported that during the Survey Year they sent out a total of 672 manuscripts (or an average of more than 22 each) to members of their faculty other than those on the editorial committee, while 27 presses reported that they sent another 269 manuscripts (or an average of 10 each) to experts off the campus.

On the question of fees paid for these opinions, 26 presses reported having paid out during the Survey Year a total of $10,919. The range of the totals per press was from a high of $2,129 to a low of $20; the average amount for the 26 presses was $420, with a median of $205. The average fee paid ranged from $10 to $50, with $25 most frequently mentioned.

These were the processes, then, by which American university presses sought to discharge their operational function of assembling a list of books which could be published consistent with the aims and means of each press -- the process which the noble Oxonian so fittingly described as one of "continuous and rigid selection and discrimination." In most cases, the process was a time-honored one from which there had been no deviation. In others, a new note had crept in which may best be summed up by quoting the text of an advertisement placed in The Saturday Review of Literature in 1943 by the Princeton University Press. The advertisement affirmed Princeton's dedication to three propositions:

"1. Scholarly books don't have to be dull books.

"2. No book is useful unless it is read.

"3. Plenty of people besides professional scholars want to read scholarly books .... if they are written with the idea of communicating thought instead of concealing it."

X. Production

"The types and the paper and the bindings must be stately and strong - or have whatever characteristics suit the contents and life of each volume."--Clarence Day, Jr.

TO PRODUCE these suitable characteristics has been the aim of the majority of the presses under study, to judge from the record and from the samples seen by this observer, but as has been made plain earlier in this report, the pursuit of this aim cost a great deal of money in the Survey Year. "Rising costs" when cited as a major problem by the directors of these presses meant primarily manufacturing costs, and manufacturing costs had indeed risen.

Here is what one press director had to say on the subject: "The publishing industry has been affected by fundamental changes in recent years. The most significant of these changes is rapidly mounting costs of printing and publication... As with printing, so with every other publishing expense — royalties, advertising, selling, and distribution — all have increased... with increasing salary scales, advertising rates, and general business expenses."

The fact that the above comment was written by Donald P. Bean when he was at The University of Chicago Press in 1929, not at Stanford University Press in 1949, may provide a reminder that there is indeed nothing new under the sun, but it does not alter the fact that the comparison Mr. Bean was making between 1929 and 1919 applies equally when the costs of 1949 are compared with 1929. All costs, but particularly manufacturing costs, had in most instances again doubled.

Some measure of the increase between that time and the present may be made by comparing, even if only roughly,

certain costs cited by Mr. Bean with others obtained during this Survey. Mr. Bean reported that the average cost of composition of 17 scholarly books averaging 250 pages produced in 1927 by The University of Chicago Press was $4.22 per page, ranging between $2.03 and $13.04. A study of 9 books issued by The University of Chicago Press in 1947-48 and averaging 412 pages revealed an average cost of composition of $9.34 per page, ranging between $4.70 and $21.13. Mr. Bean reported that the average cost of presswork and binding per copy of his group of titles was 66¢ per copy, ranging between 37¢ and $1.29, the average quantity being 1,250 copies (including, however, several books run in quantities of only 500 copies). The group of titles examined in the present Survey showed an average cost of presswork and binding per copy of 82¢, ranging between 53¢ and $1.30, the average run being approximately 4,000 copies (including runs ranging from 1,500 to 7,500 copies, with a median of 2,500).

Much of the increase in manufacturing costs during this twenty-year period took place after 1945. For instance, according to a group of book manufacturers, typical increases were registered between April, 1947, and April, 1948, as follows: composition, 10 per cent; electrotype, 7 per cent; presswork, 9 per cent; binding, 7 per cent.

By the nature of their books, it was only rarely that university presses could place print orders large enough to take advantage of cheaper mass production methods. This is shown by an examination of print orders placed for books published during the Survey Year. Twenty-two of the 35 presses studied supplied data on this point; these 22 presses published a total of 504 titles, or 69.3 per cent of the 727 brought out by the whole group. The average number of copies printed of these 504 titles was 1,828. Clearly these presses could not often avail themselves of the reduction in costs made possible by high runs.

The "content and life of each volume" often required the reproduction of material of an intricate and technical nature, illustrations as well as text, which again meant higher costs. A 320-page novel composed by linotype, with no variation in type face or size, printed on ordinary antique stock, Smythe sewn, bound in grade B cloth, stamped in foil, and containing no illustrative matter whatever, is one thing. A 480-page scholarly tome composed by monotype, heavily annotated with technical matter, larded with formulae and tables, printed on a calendered paper, Smythe sewn with reinforced end

papers, bound in pyroxlin finish Grade B cloth and stamped in gold leaf, is quite something else.

Not only were the production problems of university press publishers different from those of most trade publishers, but as Samuel T. Farquhar has pointed out, they are much more difficult to solve. However, Mr. Farquhar feels, and others agree, that this very difficulty has often been responsible for the quality of their appearances. "Much of the best printing from the presses," says he, "has been in the production of scholarly works which require much ingenuity to present difficult text matter as clearly as possible... Perhaps not consciously, but surely in practice, press books are more legible and more readable (and there is a distinction between these words) because press books must be accurate in presentation of difficult material from the physical as well as the literary point of view."

Each year since 1923 The American Institute of Graphic Arts has made awards on the basis of their physical merits to 50 books published or printed during the previous year in the United States. These awards, which have become highly coveted, have been made yearly by a distinguished jury from about 800 entries submitted by some 95 publishers and printers. The "Fifty Books of the Year" thus selected are then displayed in New York City and elsewhere for a month and subsequently sent on a year's tour around the country. The selections in the past have been made on the basis of rules from which an excerpt is quoted: "They will consider the material, design, and workmanship of the binding, the choice of paper and type face; the legibility and attractiveness of the page; the use of color and illustration, if any; the register and impression; the typographic design throughout; the artistic conception and cohesion of the whole; the book's durability and fitness for the use of which it is intended; and the success with which the designer has met the problems of manufacture and those presented by the book's editorial content."

University press publications have scored consistently in these competitions, as will be seen in Table 10, which shows how they have fared during the past ten years. During this period, it will be noted, an average of almost 36 publishers gained awards for their entries, of which, on an average, more than 4 were university presses. These university presses scored with an average of more than 6 books, or about 13 per cent, which was indeed a creditable showing.

The purposes of the AIGA, as stated in its constitution and

Table 10

BOOKS PUBLISHED BY AAUP MEMBERS
in the
"FIFTY BOOKS" PUBLISHED IN 1938-1947

	1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	Total
California	3	1	2	1	1	1	1	2	1	-	13
Chicago	1	-	-	-	-	-	-	1	-	-	2
Columbia	-	-	-	2	1	-	1	-	1	1	6
Cornell	-	-	-	-	-	-	1	-	-	-	1
Harvard	-	-	1	2	-	-	-	-	-	-	3
Michigan	-	1	-	-	2	-	-	-	-	-	3
Minnesota	-	2	-	-	-	1	-	1	-	-	4
North Carolina	-	1	-	-	-	-	-	-	1	-	2
Oklahoma	-	-	-	-	-	-	1	1	1	1	4
Pittsburgh	2	-	-	-	-	-	-	-	-	-	2
Princeton	1	-	-	2	2	4	-	-	2	4	15
Rutgers	-	-	-	1	-	-	-	-	-	-	1
Stanford	-	1	-	-	1	-	-	-	-	-	2
Yale	2	2	2	-	1	1	-	1	-	-	9
Total	9	8	5	8	8	7	4	6	6	6	67
Percentage of 50 Books	18	16	10	16	16	14	8	12	12	12	
No. of publishers represented	37	36	32	34	36	38	37	38	40	31	
No. of university presses represented	5	5	3	5	6	4	4	5	5	3	
Percentage of all publishers represented	13.5	13.9	9.4	14.7	16.7	10.5	10.8	13.2	12.5	9.7	

by-laws, include these: "To stimulate and encourage those engaged in the graphic arts... to stimulate the public taste by schools, exhibitions, lectures and printed matter; promote the higher education in these arts, and generally to do all things which will raise the standard and aid the extension and development toward perfection of the graphic arts in the United States." As of 1947-48, five Association members were corporate members of the Institute (Chicago, Cornell, Harvard, Princeton, and Stanford), while the list of honorary regional vice-presidents of the organization included Mr. Farquhar of California and Savoie Lottinville of Oklahoma.

These facts do not testify that all publications of all university presses were uniformly perfect in design and manufacture, or even good; this observer has seen some university press titles published during the Survey Year which even to his untrained eye appeared to be imperfect examples of bookmaking. But these were the exception, rather than the rule, and were usually the products of inexperience, rather than of poor taste or low standards. On the average, the standard was so high, even at a time of monstruous costs, as to make evident why university press publications in general enjoyed a most satisfactory reputation for design and manufacture.

This reputation extended beyond the juries of the AIGA to include at least a segment of the dealers whose business it is to market university books. Eighty-three book-sellers who supplied data in regard to certain distribution problems of university press publishing (see Chapter XI) were asked also how the standard of university press book manufacture compared with that for general non-fiction titles at the time of the Survey. "Very favorably," in effect replied 21 of the 83; "favorably," answered another 45; "as good," said 9. Only 2 booksellers gave "unfavorably" as a reply; 6 others offered no comment.

During the Survey Year, at each of 23 presses in the Association all or a large majority of the titles published were designed by members of the staff. Other manufacturing statistics about the 727 titles published during the Survey Year are shown in Table 11, which indicates how these titles were printed and bound and where they were printed.

It will be seen immediately that letterpress prevailed as the most popular method of reproduction, since 86 per cent of these titles were printed that way. Whether this was the most economic and functional method which could have been used in these 727 cases was beyond the scope of this study to determine.

Table 11

BOOK PRODUCTION BY AAUP MEMBERS IN SURVEY YEAR: MANUFACTURING

	No. of Presses	No. of Titles	Per cent of 727
A. How Printed			
1. Letterpress		626	86.1
a. From type	34	589	81.0
b. From plates	11	37	5.1
2. Photo-offset		80	10.9
a. From type	13	35	4.8
b. From typescript	10	33	4.5
c. Other	3	12	1.6
3. Other		3	0.4
a. Mimeograph	2	2	0.3
b. Other	1	1	0.1
4. Imported sheets or bound books	2	18	2.5
B. How Bound			
1. Cloth	35	535	73.7
2. Paper	25	202*	27.8
C. Where Printed			
1. Commercial printers	85	506	69.6
2. Press plants	10	160	22.0
3. University plants	8	43	5.9
4. Imported sheets or bound books	2	18	2.5
Total books published		727	

*Ten books were bound in both paper and cloth.

Table 12

BOOK PRODUCTION BY AAUP MEMBERS IN SURVEY YEAR: REPRINTING

	From type	From plates	Offset
Backlist Titles			
Number of presses	23	8	22
Number of titles	189	163	156
Average no. of copies per press			
Highest	6400*	12000	2500**
Lowest	500*	3000	500
Median	1650	5000	1000
Current Titles			
Number of presses	7	7	7
Number of titles	14	16	10
Average no. of copies per press			
Highest	5073	6500	8000
Lowest	434	1500	500
Median	2000	3971	2000
Total			
Number of presses	23	10	22
Number of titles	203	179	166

*Of 22 presses; one press did not give average number of copies.
**One press did two titles by offset, one in 3,000 copies, one in 75,000 copies, an average of 39,000. Otherwise the highest average number of copies done by any press in this way was 2,500.

It will also be seen that a very high percentage (81 per cent of the total of 727) of the titles printed by letterpress were done from type, rather than plates. Inquiries indicated that high plate costs and low print orders were among the reasons for this, and that in a number of instances reproduction proofs were pulled so that any subsequent reprinting could be handled by photo offset (see below.)

Apparently the typewriter, standard or electric, was not yet used to any appreciable degree in the composition of university press publications, since it will be seen that only 33 titles, or 4.5 per cent of the total, were reproduced from this kind of composition.

It will be noticed that 506 titles, or almost 70 per cent, were farmed out to 85 commercial firms across the country (5 of them Canadian firms used by the University of Toronto Press). Of these 506 titles, however, 257, or a little over half, were handled by 14 firms as follows:

	No. of Titles	No. of Presses
Vail-Ballou Press, Inc.	100	6
Kingsport Press, Inc.	28	4
Colonial Press, Inc.	26	4
J. H. Furst Company	16	2
Murray Printing Company	13	1
Norwood Press Co.	12	1
William Byrd Press	11	1
Edwards Brothers	10	5
George Banta Publishing Co.	9	6
Van Rees Press	9	3
Lund Press	9	2
American Book-Stratford Press, Inc.	5	4
Lancaster Press	5	3
E. L. Hildreth & Co.	4	3
	257	

Eight presses availed themselves of university printing facilities other than those under press jurisdiction. For 3 presses, this meant near-print facilities, but in each of the other 5 cases, (Harvard, Kansas, Nebraska, New Mexico, and Syracuse) there existed a university printing plant not under

press jurisdiction which was capable of printing part or all of the publications of this press.

It can be seen in Table 11 that 10 presses printed a total of 160 titles at plants which were under their managements at the time of the Survey. During the Survey Year, however, Loyola disposed of its plant after printing one of its four titles.[1] Seven of the other 9 presses published during the Survey Year 46 additional titles, 45 of which were let out to commercial printers (the other title was reproduced by near-print facilities at the university). The California plant handled 26 of the 32 titles published during this period by its press; Chicago, 43 of a total of 54; Illinois, 8 of 9; Iowa State, 6 of 7; Princeton, 23 of 43; Stanford, 25 of 27; and Toronto, 13 of 18. The plants at Oklahoma and Washington handled the printing of all book titles published by these presses during the Survey Year, 12 and 3 respectively.

There were apparently two main reasons for turning these 45 titles over to commercial firms: 1) the university press plant facilities were already overburdened with other university printing orders, as well as with the remainder of the publications on the list of the press, and 2) the plant was not equipped to reproduce these titles by the methods decided upon as most suitable.

Each member of the Association was asked to supply data on the number of titles reprinted during the Survey Year. Six presses indicated they did no reprinting during this period or failed to supply data on this point. The activities of the other 29 presses in respect to reprinting are tabulated in Table 12.

As will be seen, the titles concerned were divided into "backlist" books (those published prior to the Survey Year) and "current" titles (those published during that period). There proved to be 508 of the former and 40 of the latter. Additional facts not shown: 1) 23 presses reprinted backlist titles, but only 14 presses found it necessary to reprint current titles; 2) of the 189 backlist titles reprinted from type by 23 presses, 58 were reported by a single press (Yale); 3) of the 163 backlist titles reprinted from plates by 8 presses 71

1. The decision was made because their printing requirements had become such that a choice had to be made between considerable expansion of plant facilities and a switch to the use of commercial facilities.

were reported by one press alone (Loyola); 4) of the 156 backlist titles reprinted by offset by 22 presses, 57 were reported by 2 presses (Chicago and Princeton).

Five presses made no reply to inquiries to the members of the Association in regard to their policies and problems of holding type and the question did not apply to another (Loyola) which customarily plates its books. At 29 presses, type might be killed immediately if no reprinting seemed likely (4 presses indicated they made the decision at the time of the first run), or if a reprinting seemed likely, type might be held for several years (3 presses indicated they went this far). The usual practice was to hold type automatically for a period from three months to a year while the market was tested and the chance of reprinting were gauged. Several presses indicated they reviewed their list of standing type at periodic intervals (two months, three months), others reported they made a decision at the time storage charges began (most printers will hold type free of charge for a short initial period). These costs were a concern to at least 6 presses, while among those presses which did their own printing at least 5 indicated lack of storage space was an acute problem.

The variety of circumstances which dictated the decision was evident in this reply: "No set rule. In 1945 we made a seventh printing from type nearly 20 years old; often we kill instantly. The problem is not so important as it once was because of improvement in offset printing." Only 3 other presses, however, indicated in their replies any awareness of the value of using offset in reprinting.

The cost of manufacture is not the sole factor determining the retail price of a book, but it is a major factor and so the question of pricing formulae will be treated in this chapter. Each of the 35 presses was asked to describe the formula in use at the time of the study. This was another instance in which there were almost as many different replies as there were presses, but in this case perhaps the purposes of the Survey will best be served by recording in full the replies received from 12 of the most experienced presses.

1. "Generally price books at four times unit manufacturing cost, but do not hold to this formula if felt that market will not stand such price or sales sharply reduced because of higher prices; also may place lower price where reprintings anticipated; no difference in formula for unsubsidized books and books where subsidy is to be refunded in full as book sells."

2. "On books which we finance wholly and which carry royalty and are subject to full trade discounts we attempt to set a list price equal to five times the unit cost of the bound book (excluding royalty from unit cost). If a book is subject to text discount only, particularly if it bears no royalty, we figure that we can set a price four times unit cost and still clear costs and overhead. Needless to say we often fail to set a price as high as it should be."

3. "We make a financial estimate including (1) manufacturing cost, (2) advertising, (3) selling, (4) editorial, (5) office, shipping, etc. and (6) royalties. A careful estimate is made for item (1); items (2), (3), and (5) are based on our overall experience in terms of a percentage of receipts from sales. Editorial expense is assigned a flat rate per title; royalties determined by negotiation. For example:

1,500 copies -	Unit Manufacturing Cost	$4.758	
	Advertising and Selling	1.200	(15% Rec.)
(a)	Editorial	.400	($600) (1,500)
	Office, Shipping, etc.	1.280	(16% Rec.)
	Royalty	-0-	(None on 1st 2,000)
		$7.638	
	Price	10.00	
	Discount - 20%	2.00	
	Net Receipts per copy	$8.00	

(a) We use either $600 or $300 per title depending on complexity of editing problem."

4. "No mathematical formula. We take account of production costs of first printing and reprintings, royalty, average trade discount (37½% for trade books, 25% for text and non-trade), distribution expense (figured at 1/3 of

gross billing), and subsidy, if any. In the last analysis, however, we fix the list price at the figure which we believe will produce the greatest revenue, taking account of the prices of similar books in the market."

5. "No formula. We cut and try in light of all circumstances, as tradition of prices (e.g. mathematics vs. Spanish), appearance of book, extent to which we believe sales will be institutional, number of illustrations, whether or not book MUST have trade discount, etc."

6. "Manufacturing costs — less subsidies
Discount (on list price)
Overhead — including advertising (% of cash received)
Royalty (% on list price)
Profit — what is left % on cash received)".

7. "In general, the price of a book is determined by multiplying the manufacturing cost by five."

8. "Working backwards, retail price less dealers discount, less royalty, less overhead (30% of wholesale), less promotion allowance, less a few pennies profit, should equal manufacturing cost. But this is the ideal and usually prices must be determined by size and kind of book and the market it is intended for."

9. "On a Trade book we make the list price as close to four times the manufacturing cost as we think the book will stand. On a subsidized book we price it on number of pages, illustrations, and format. On a "consigned" book paid for by an outside organization, the Proprietor sets the list price in consultation with us."

10. "Stock and royalty costs = 57% of net receipts. This means, on the average, that trade books are priced at four times cost per copy and short items three times production costs. These are days, however, when any pricing formula must be tempered so that each book is carefully estimated and budgeted."

11. "Cost-estimating, based upon current costs, rather than formula, 4 x manufacturing cost, or some other variant long in use. But we have kept our eye on 'what the traffic will bear,' and in consequence our retail prices have almost always been a cut below prevailing practice, e.g. $3.75 instead of $4.00, $5.00 instead of $6.00, and so on."

12. "Roughly 4 to 5 times manufacturing cost. But on some titles we have to cut this down to what we think the market will bear. Usual practice is to work backward from the 'ideal' price to what the manufacturing cost should be; then, if this is below the actual cost, some sort of readjustment must be made: (1) price raised, (2) costs reduced, (3) project abandoned, (4) steel ourselves for a loss."

In a period of high costs, a book publisher can take one or more of these steps: raise prices, cut overhead, increase sales, and look for innovations. Consumer resistence to higher prices has already been discussed; the university press publisher had to keep an eye on this resistance as well as the next man, although the question of whether a purchaser would decide against buying when a book was priced at $4.50 instead of $4.00, or $3.75 instead of $3.50, was, in the opinion of this observer, debatable. Retrenchment was not an avenue of escape open to every university press publisher since his overhead was not likely to be over-extended in the first place. There remained the possibility of increasing distribution, which will be dealt with in the following chapter, and the possibility of discovering and employing certain innovations — which usually meant new methods of reproduction.

The subject of new methods of reproduction was freshly studied in the winter of 1948-49 by Henry M. Silver, whose findings on modern non-letterpress printing processes were contained in a report submitted to a foundation. Because Mr. Silver's study contains new and valuable material bearing directly on this Survey, permission was sought, and very kindly granted, to include in this volume an abstract drawn up for the purpose. This abstract begins on page 269.

In 1947, a distinguished committee of the Board of Overseers of Harvard College, having visited the press and discussed its problems with the management and among themselves, submitted a report which included the opinion that "the Press is doing wisely to study the possibilities of other methods of reproduction of scholarly documents of limited sale" — even though, the report acknowledged, "to some authors this might seem a cheese-paring betrayal of scholarly dignity."

XI. Distribution

"And as for the publishers, it is they who...plan the voyage, and sail on, facing wreck, till they find every possible harbor that will value their burden."—Clarence Day, Jr.

IN DECEMBER, 1948, a book reviewer in The Chicago Tribune closed an otherwise favorable review of a University of North Carolina Press book with a remark which he did not attempt to substantiate: "University presses," said he, " are notoriously poor in promoting and advertising their wares."

This canard so irritated the sales and promotion manager of the Columbia University Press that he resolved to find out just what had been done by the Tar Heel publishers on behalf of this particular book. Here is his summary of what he learned from North Carolina (and promptly printed in January in The Pleasures of Publishing, the biweekly house organ of the Columbia press):

> "Bold Galilean [the book which had prompted the criticism] was published on October 2 with review copies distributed in late July. (The Chicago Tribune reviewed it... more than two months after publication.) Reading copies were sent to bookstores. North Carolina's salesmen sold it to stores in all parts of the country. A selected list of 500 bookstores received six mailings about it. Booksellers were supplied with 75,000 four-color cards for mailing with their imprint. It was announced in Publishers' Weekly. There was a full-page ad in The Retail Bookseller and two pages in Publishers' Weekly a month before publication. Advertisements have appeared in The Saturday Review of Literature, the Washington Post, the San Francisco Chronicle,

the Richmond Times-Dispatch, the Christian Herald, The New York Times (twice), the New York Herald Tribune (twice) – and The Chicago Tribune. There were cooperative ads with booksellers in almost one hundred cities.

"A banquet honoring the author was held in Charlotte, North Carolina, his home town. There have been autographing parties in several book shops in the state. The news and alumnus angles were covered through University News Bureau and Alumni Association releases. There were three printings in less than three months and book club sale of a minimum of 125,000 copies. The important review media carried favorable reviews immediately following publication."

These facts not only annihilated the gratuitous remark of The Chicago Tribune's reviewer, they offered considerable evidence that in 1948 at least one university press knew just as well as any commercial house how to distribute a book for which there was a market beyond the purely scholarly.

The wares of university presses reach the reader much the way the books of all publishers do. The reader may buy a university press publication wherever books are sold or he may borrow it from a library or he may purchase it from the press. Unless the book he wants is out of stock or out of print, he can be certain of acquiring it if he orders directly from the press; he has a fair chance of finding it in a large public or university library; he has only a modest chance of finding it in a bookstore, but the store will usually be glad to order it from the press for him.

In the past most university presses first offered books to the consumer directly or through libraries. Only gradually and in recent years did any great number of them use the machinery established to market the books of commercial publishers, that is, the machinery controlled by middlemen. By the time this Survey was made, however, members of the Association depended on this machinery to a considerable extent. This may be judged by the fact that during the Survey Year an average of 49 per cent of the net sales of these 35 presses were channelled through retail booksellers, while an additional 10 per cent went through wholesale dealers. The remaining 41 per cent of their sales during this period were made directly to the consumer, to schools and colleges, to

public, college, and special libraries, to organizations for distribution other than resale, or to foreign purchasers, whether dealers or consumers.

To market their books, 25 members of the Association[1] reported that they used the services of members of their staffs and/or "commission men," i.e., free-lance salesmen who sold books for several publishers on a commission basis. The other 10 presses either dealt with dealers by mail or sold most of their publications directly to the consumer (Duke, Illinois, Johns Hopkins, Kansas, Kentucky, Michigan, New York, Pittsburgh, South Caroline, and Toronto).

Of the 25 presses which used salesmen, 16 indicated that 27 members of their staffs (including in 13 cases the sales manager and in two cases the head of the press) engaged in part or full-time selling activities (California, Catholic, Chicago, Columbia, Harvard, Louisiana, Loyola, Minnesota, North Carolina, Oklahoma, Princeton, Rutgers, Stanford, University Press in Dallas, Washington, and Yale). These 27 staff members were distributed as follows: Loyola and Princeton, four each; Chicago, three; California, Catholic, and Harvard, two each; and the rest one each. Thirteen of the 16 presses used commission salesmen also (the three who did not were Catholic, Loyola, and Washington).

The other 9 presses in this group of 25 did not use staff members as salesmen but did use commission men (Cornell, Fordham, Georgia, Iowa State, Nebraska, New Mexico, Pennsylvania, Syracuse, and Wisconsin), making 22 presses in all which used this type of sales representation. The commission sales individuals or organizations retained by these 22 presses numbered 57, as follows: Minnesota, five; California, Columbia, Louisiana, Oklahoma, and Rutgers, four each; Harvard, Nebraska, New Mexico, North Carolina, Princeton, Stanford, and Yale, three apiece; Chicago and Pennsylvania, two each; and the other seven presses, one apiece.

Two or more presses frequently used the same commission representative and thus only 25 different individuals or sales organizations were involved. The 25 represented university presses as follows: Ray B. Barr (Southwest), 6 university

1. Including Fordham and Yale which had contracted with The Declan X. McMullen Company and W. W. Norton & Company, respectively, to perform certain distribution services.

presses; Bond Wheelwright (nationwide), 6 presses; George F. Scheer (South), Carl J. Smalley (West), George W. Stewart (East), 4 presses each; John S. Clapp (East), Stanley Croonquist (West), Fred J. Harper, Jr. (East), Robert A. Yoder (East and Middle West), 3 presses each: James D. Blake (West), Henry D. Johnson (New York City), Ward McClelland (South), Robert F. Rainer (South), Boris Sheiman (West), 2 presses each; and the others, one apiece. With one exception[2] these individuals or organizations were sales agents for commercial publishers also.

The average rates of commission paid to these representatives, as reported by 21 presses, ranged from 10 per cent (3 presses) to 25 per cent (2 presses), with $12\frac{1}{2}$ per cent the most customary (10 presses). Average rates of 11 per cent, 12 per cent, and 15 per cent were reported by two presses each[3]. Several of these commissions were paid on ledger accounts, which were usually restricted to publications which carried trade discounts.

The total amount of commissions paid during the Survey Year, as reported by nineteen presses, was $61,208. The amounts reported ranged from $250 to $10,830. The average paid per press was $3,221 but the median amount paid was only $1,843.

To discover something about the way in which this kind of sales representation operates for some of the presses in the group, queries were addressed to 7 of the travellers listed above, all experienced men who among them carried the trade lines of eleven of the oldest and largest university presses in all parts of the United States at the time of the Survey (these 11 presses paid 86 per cent of the commissions reported above). These 7 commission men represented in addition a total of 39 commercial publishers. None of them carried

2. The University of North Carolina Press retained the services of a commission man whose sole purpose was to sell their books in South Carolina.

3. Four presses reported variations: 2 presses paying $12\frac{1}{2}$ per cent reported that they paid only 6 per cent and 10 per cent on jobber or quantity discount orders respectively; another press paying $12\frac{1}{2}$ percent reported that it did so only on "regular" orders and that the commission was reduced to 10 per cent on "follow-up" orders; one press paying 25 per cent indicated it did so only on library orders while paying 15 per cent on bookstore sales.

fewer than 2 university press lines and all of them represented at least one commercial line (2 of them carried more than 10).

Each reported that he visited the accounts in his territory at least twice a year, many of them visited the larger cities six or seven times a year, and one man was able to make his metropolitan rounds at least once a month. The number of accounts visited ranged from 75 to 300, the average was 185. Three of the 7 classified these accounts as follows: regular bookstores, 81 per cent; department stores, 12 per cent; jobbers, 3 per cent; and "others," 4 per cent.

There was no uniformity of experience or opinion in the answers to the question, "Describe the size and kind of accounts which provide the best support, year in and year out, for university press publications." Here are the seven replies:

1. "College bookstores and the larger general bookstores. Some small stores with alert managers."
2. "The few real bookstores in the territory [West] and particularly the shops that do business with libraries and other public institutions."
3. "Larger metropolitan stores, except for regional publications of [a western university press] where small stores in the region produce good volume."
4. "The store that believes profits come through service to customers rather than the account where turnover is important."
5. "The regular bookstore. Department stores rarely touch a press book unless it has a local appeal or tends toward best sellerdom."
6. "Medium and small stores."
7. "All stores that handle better quality books."

Asked "Do you find it harder to persuade dealers to check stock lists of university presses than those of trade houses?" three answered categorically, "No," while two said, "Yes." The sixth replied, "I believe it is harder to get them to stock university press publications at first but after the account is well established this resistance disappears." The seventh answered succinctly, "In the South, it is tough to get a stock check no matter what the line, with the exception of some dozen best stores."

One of those who had replied in the negative to the foregoing question elaborated as follows: "We find that it is a good deal like selling books of any other publisher. A few years ago there used to be quite a little prejudice in regard to university press publications... Now we find that our customers are as ready to go through the university lists, and sometimes more so, as they are our general lists... When the dealers are properly shown what they can do with some of these finer titles they become steady customers."

These 7 travellers were also queried about their working relations with the eleven presses which they represented. As might be expected, they usually found it possible to pay frequent visits to those presses near their home bases and not always possible to visit those at a distance, although one man on the West Coast had visited both the Eastern presses he represented during the previous year. None of the 11 presses had been visited during that period by all of its representatives among the 7 queried.

To the handicap of distance could probably be added the fact that, to judge from the replies received, not all of these 11 university presses placed the same emphasis on the value of seasonal sales conferences as do commercial trade publishers with whom the periodic sales conference is standard operating procedure. According to information supplied by these commission men, 3 of the 11 presses held such sales conferences in January and in the late spring respectively.

In general, the 11 presses supply these representatives, according to the latter, with adequate sales aids (catalogues, jackets, samples, lists, etc.) In many cases, however, the commission men said these were received too late to be effective in building advance sales on their trips. Specifically, 5 men thought that 7 of the presses they sell for sent out such material too late to be sufficiently helpful. Only one press was praised with respect to the sales aids provided to both of the men representing it, one of whom cited it as "the model all other presses should follow."

Nearly all the opinions expressed by these travellers on the discount and protection policies of the presses they represented were favorable: "liberal," "satisfactory," "OK," etc. However, some of the replies were qualified. One said far too many books that should carry trade discounts are published at short discount. Another said that both policies were all right except for some jobbers; one representative said that the discount on trade books of one press were in line

but the quantity requirements of intermediate categories discourage smaller stores, which are the best outlets, on some books which might have considerable distribution. One man said that the "no return" policy of one press discouraged stores from trying regional or other uncertain books; while another said that in actual practice the return privilege with this same press was liberal and that all requests were granted.

In suggesting ways for the presses to improve sales in their respective territories, several representatives repeated their observations about the lack of adequate selling materials. Two suggested that the original dates set for publication should be more closely adhered to and one recommended a slight reduction in prices, "if practical." One suggested more advertising and another that more salable books be offered at trade discount so the stores could keep them in stock.[4] The opinions of these representatives on other matters will be referred to later in this chapter.

To return to information received from the presses themselves, 29 members of the Association indicated they had placed so-called trade discounts of 33 1/3 per cent or higher on a total of 245, or 33.6 per cent of the 727 titles published during the Survey Year. To put a "trade" discount on a title meant to consider it a book which might reach a big enough market through bookstores and other trade channels to warrant the higher discount (and the higher price) or as a book which booksellers might reasonably be expected to stock.

Among the 29 presses which offered trade discounts on their Survey Year titles, 19 reported they offered 33 1/3 per cent on single copy orders of a title. Three of these reported they offered a flat trade discount of 33 1/3 per cent, regardless of quantity. The other sixteen scaled their discounts, starting at 33 1/3 per cent on single-copy orders. Eleven of the latter increased the discount to 40 per cent on orders for 2 or more copies and 4 increased the discount to 40 per cent on orders for 3, 4, or 5 copies; one raised the discount to 35 per cent on 2 copies and to 40 per cent on 3 or more copies. Six of these 16 presses which started their trade discount scales at 33 1/3 per cent offered 40 per cent at the outset on any order for 5 assorted titles. Nine of the 16 did not offer more than 40 per cent, regardless of quantity, but the other 7 scaled their rates

4. Another suggested "publishing more popular titles" but recovered himself to remark, "but then it might cease to be a university press."

upward on varying quantities, 2 of them offering as much as 46 per cent on bulk orders.

Nine other presses among the 29 offering trade discounts during the Survey Year offered 40 per cent on single copy orders of a single title. Five of these reported a policy of a flat 40 per cent, regardless of quantity, while the other 4 scaled their trade discounts upward from 40 per cent on orders either of 25 or more, or 50 or more, with 3 granting as much as 46 per cent on bulk orders.

One press started its trade scale at 30 per cent for 1-99 copies of a single title or 1-4 assorted, then increased the discount variously from 40 to 46 per cent, depending on quantity. This press also reported it granted 40 per cent on any order given to its sales representatives, as did 2 of the presses included above in the group which otherwise started their trade discounts at 33 1/3 per cent.

Six presses in the Association did not offer any publications to regular dealers at discounts greater than 30 per cent.

The bulk of the remaining titles published during the Survey Year were offered at a so-called "short" discount; that is, a lower discount indicated usually by the limited nature of the market for these titles.

Eighteen members of the Association reported they placed a flat 20 per cent discount on such titles.[5] A flat 25 per cent short discount was offered by three presses, while one press offered a flat 30 per cent. Scaled discounts on such titles were offered by 7 presses as follows: 1) 20 per cent on 1-4 copies and 25 per cent on 5 or more; 2) 10-20 per cent; 3) 20 per cent on 1-4 copies and 33 1/3 per cent on 5 or more; 4) 25 per cent on 1-4 copies and 30 per cent on 5 or more; 5) 20 per cent on 1-4 copies, 25 per cent on 5 or more shipped and billed to one address; 6) 25 per cent on 1-2 copies of same title, 33 1/3 per cent on 3-4 copies of the same title, 35 per cent on 5-24 copies of same title, and 40 per cent on 25 and over; 7) 20 per cent on one to 24 copies and 25 per cent on 25 or more.

The remaining six presses in the group indicated they had not used short discounts (usually because all their publications during this period were offered either at trade or text discounts) or did not supply information.

5. Two indicated that in consideration of special promotion by dealers resulting in actual saving of expense to the press the trade discount scale was sometimes applied to "short" books. Another made exceptions in the Survey Year in favor of one law book and one medical book, sold to law and medical firms respectively at 33 1/3 per cent discount.

A specified discount on textbooks was reported by 19 presses, 17 of which offered a flat rate of 20 per cent. The other 2 reported textbook discounts as follows: One offered 20 per cent on college texts and 25 per cent on elementary and high school books; and the other 10-20 per cent. The remaining 16 presses either indicated their textbook discounts were the same as their short discounts or did not supply information on this point.

In addition to the foregoing rates of discount, several presses indicated special rates for special materials, such as journals, maps, tests, charts, pamphlets. Columbia's Encyclopedia had its own discount scale (single copies, 33 1/3 per cent; 2-24 copies, 40 per cent; 25-49 copies, 41 per cent; 50-99 copies, 42 per cent; 100-249 copies, 43 per cent; 250 or more copies, 45 per cent) Princeton offered its art books at 33 1/3 per cent discount on 3 of a title or 5 assorted. Yale in 1948 decided to give trade discounts on non-trade books ordered in advance of publication, except for textbooks and limited editions.

Besides those dealers who sold university press publications after receiving "trade," "short," or "text" discounts as described above, there were the wholesalers — dealers who primarily serviced other dealers but in some cases maintained retail outlets themselves. Because they usually bought more regularly and in larger quantities, these wholesalers were customarily offered larger discounts in accordance with commercial publishing practice.

Twenty-five members of the Association reported they had granted such "jobber" discounts on Survey Year titles. Three offered 33 1/3 per cent on single copy orders and scaled the rate upward thereafter to as much as 46 or 47 per cent. One offered a flat 35 per cent to a single dealer.

Fourteen began their jobber discounts at 40 per cent and scaled them upward to as much as 49 per cent in one case (this was for an order of 2,000 or more assorted). One press started its jobber discount scale at 41 per cent and another at 43 per cent.

Five presses offered flat jobber discounts. One granted 40 per cent but only for 20 or more copies of a single title. Two gave 40 per cent regardless of quantity, although in one case the offer was limited to a single dealer. Two gave 46 per cent, regardless of quantity.

The other ten members of the Association either reported

that they carried no separate discount for wholesalers or did not supply information.

Asked to identify the concerns to whom they regularly granted jobber or modified-jobber discounts, 23 presses complied with a total of 37 firms who were named altogether 146 times. The Baker & Taylor Company was listed by 21 presses; A. C. McClurg & Company by 19 presses; The American News Company and A C. Vroman's Inc., each by 17 presses; The Personal Bookshop by 10 presses; Bookazine Company, Inc., by 7 presses; College Book Exchange by 5 presses; J. K. Gill Company, The H. R. Huntting Co., and Wilcox & Follett, each by 4 presses; The Jenkins Book Co , Stechert-Hafner, and C. K. Wilson Company, each by 3 presses; Acme Code Company, Interstate Printers and Publishers, St. Paul Book & Stationery Co., D. N. Sakols, and S. W Stacey each by 2 presses. The remaining 19 firms reported were each listed by one press.

Two other kinds of discounts are customary among the members of the Association: those granted to libraries which purchase directly from the press and those accorded to individuals who are considered to be entitled to a "professional" discount, i.e., teachers, other members of the academic community, fellow publishers, etc.

In the matter of the library discount, 12 presses reported they usually granted a straight 10 per cent discount.[6] Three presses gave a 15 per cent library discount. Sixteen presses offered a 20 per cent discount to libraries.[7] Two presses reported varying library discounts, one granted 20 per cent on 1-4 copies and 25 per cent on 5 or more, while the other distinguished between its non-trade and text titles on which 10 per cent was offered and its trade titles on which the discount was 20 per cent. One press reported only in terms of its own university library to which a 40 per cent markdown was granted. One press did not supply information on its policies.

As for the "professional" discount, 15 presses reported they granted a flat 10 per cent. A flat 15 per cent was granted by 2 presses. A flat 20 per cent was reported by 9 presses. Two presses indicated varying practices (one reported that it gave up to 50 per cent, depending on the title, and that 50 per cent applied to paper bound stock purchased by university staff members; the second reported no regular policy but said

6. Three granted 20 per cent to those libraries with a standing order for all publications.

7. One granted 33 1/3 per cent on standing orders.

special offers are made from time to time to its university faculty members). The remaining 7 presses either gave no information or reported no such discount was available.

So much for the practices of these presses in regard to discounts. It can be seen that to a marked degree many presses have adopted policies prevalent in commercial publishing. This has also been the case in regard to their "protection" policies covering the return of trade books for credit.

Each member of the Association was asked to describe in detail its policy on such "returns" and the replies indicated that in 26 cases the bookseller enjoyed full protection albeit under certain conditions. The conditions varied considerably from press to press, but many specified that the books had to be returned in salable shape, only under the publisher's label (i.e., with advance permission), and could not be sent back sooner than 90 days after publication nor later than one year. At least three presses had adopted the "Joint Board" policy described below and others indicated they planned to do so. One press did not permit the return of art books. The credit granted to the dealer on such returns was 100 per cent in a number of cases, 90 per cent in others; one press extended a credit on trade titles of list price less 46 per cent.

Among the other 9 members of the Association members, 2 presses reported flatly that they did not permit trade books to be returned by the purchaser and another commented, "We do not encourage this." Another said, "Policy is no returns, but each request is decided on its merits. There are more exceptions than otherwise." Two presses only accepted returns of consigned stock and another said that "on quantity initial orders returns allowed within six months." Still another press accepted for return only 20 per cent of the number of copies ordered of a specific title. One press supplied no information.

To find out to what extent "returns" figured in the affairs of these presses during the Survey Year, each press was asked to report them as a percentage of its net sales during this same period. The results are shown in the table on the following page.

These matters of discount and protection are, naturally, of considerable interest to book dealers. As indicated by the practices reported by the 35 university presses under study, publishers' policies in these matters vary greatly. To aid the bookseller in coping with this welter of varied practices, the

	No. of Presses
Negligible	4 presses
Less than one per cent	3 "
About one per cent	5 "
3.5 per cent	2 "
3.8 per cent	1 "
4.8 per cent	1 "
5.0 per cent	4 "
5.6 per cent	1 "
5.9 per cent	1 "
8.0 per cent	2 "
9.9 per cent	1 "
10.0 per cent	2 "
20.0 per cent*	1 "

*one title only, under special circumstances

American Booksellers Association undertook in 1947 the compilation and publication of the policies of 338 publishing organizations in the United States in a small volume entitled Book Buyer's Handbook, distribution of which was limited to members of their Association.

An examination of the second edition of this indispensable trade tool, which was issued in 1948 and contained comprehensive information about the sales policies of 362 publishing organizations throughout the United States, revealed that 19 university presses (all were members of the Association of American University Presses) had contributed data (California, Catholic, Chicago, Columbia, Cornell, Duke, Fordham,[8] Harvard, Johns Hopkins, Michigan, Minnesota, New Mexico, North Carolina, Oklahoma, Pennsylvania, Princeton, Rutgers, Stanford, and Yale).

The Joint Board of the American Book Publishers Council and the American Booksellers Association also has concerned itself with these and kindred matters. In June, 1948, this group issued a release to the members of the Council[9] announcing the opinion that "a plan of trade merchandise protec-

8. Through its distributor, The Declan X. McMullen Company.

9. Among whose members at that time were the following university presses: California, Columbia, Harvard, Minnesota, North Carolina, Oklahoma, Pennsylvania, Princeton, Stanford, and Yale.

tion is currently in the best interest of the healthy state of the industry." The release went on to say that the "Joint Board is convinced that excessive variety in detail present in the several plans now in effect has created an administrative burden that is costly and wasteful for booksellers and publishers alike.

"Believing that a greater degree of uniformity in protection plans would benefit the industry as a whole, the Joint Board submits as a desirable trade practice a plan containing these essential provisions:

"1. All new books may be returned for credit at 90 per cent of their purchase (net) price.

2. No books may be returned until a label covering them has been received by the bookseller from the publisher.

3. No returns shall be requested until a book has been published at least 90 days, nor after a period of one year.

4. All books returned must be in a salable condition."

As indicated in the foregoing pages, several university presses had adopted this plan by the time the Survey was under way.

It seemed useful to address certain inquiries in regard to their relations with university presses to a selected list of dealers. The list used was made up for this purpose from the records of a large New York commercial publisher, the American Book Publishers Council, The American Booksellers Association, and the National Association of College Stores. It comprised 331 bookstores, of which 197 were general bookstores and book departments in department stores, and 134 were college or university bookstores reported to be handling general books as well as textbooks. With the exception of a few large department stores and chains, the list contained the major bookseller accounts in the United States.

Ninety-seven replies were received, of which 83, or 25.1 per cent of the questionnaires sent out, could be used. These 83 replies were from approximately proportionate percentages of general bookstores or book departments and college or university bookstores.

The first question asked of these booksellers was whether university presses in general supplied adequate pre-publication information about forthcoming titles. Of the 83 respondents, 36 per cent replied in the negative.

Given an opportunity to suggest improvements, a number of these booksellers recommended that commission salesmen representing these presses be equipped with more complete advance information. "The main problem," said one, "is to have their salesmen familiar with the books he is selling," for, as another put it, this lack is "embarrassing to him and annoying to the buyer." Several booksellers suggested that presses use "more salesmen." Others pleaded for more complete and accurate information about publication dates. Four complained that they received too much information about "strictly library items" and not enough about "those with general sales possibilities," and another felt that presses "often do not recognize potential bestsellers themselves."

One bookseller asked for more "dramatic and appealing announcements," but another offered praise for university presses on this score "Most presses," said this Eastern bookseller, "present their books better than trade publishers. We get bored with spectacular mailing pieces."

Asked whether they thought university presses would be better represented if commission men handled only university press lines rather than both university press and commercial lines, 53 per cent replied "no" or "not necessarily" and 24 per cent answered in the affirmative. Four booksellers felt it made no difference, 4 said that it depended on the man or the locality, one was "doubtful."

The point of view of those who said "no" was perhaps summed up by the bookseller who commented, "Commission travellers for trade publishers know the potential of their territory and can promote university press books as merchandise needed by bookstores, rather than as 'subject' specialties."

Among the dealers who felt that university presses ought to have separate representation, one believed that "university press books always require proper presentation by a qualified salesman," and another said he thought that the "bigger presses ought to have men handling not more than TWO lines, preferably only [university press] lines."

The next question submitted to these booksellers was, "Do university presses in general provide adequate post-publication promotion support on titles for which there is an appreciable demand?" "Yes," said 51 per cent, "no" said 41 per cent.

Only comparatively few respondents had suggestions to make for improvement on this score and, as might be expected, most of these expressed a desire for "more advertising." The replies on this score ranged from the bleak ("almost any promo-

tion would be an improvement") through the compassionate ("as a rule they cannot afford to advertise extensively") to the encouraging ("most presses are striving to correct this condition"). One bookseller struck an attitude which most publishers, university and commercial, no doubt wish was more widespread: "We are indifferent," said he, "to post-publication promotion of any good book."

Comment was solicited from booksellers on the discount policies of university presses in general. The replies from the 78 who answered were almost equally divided between favorable and unfavorable. Those who expressed themselves as dissatisfied usually cited the problem of handling short discount titles or commented that a minimum of 40 per cent discount would be desirable on trade titles, especially if they were expected to carry stock. Many of these latter complained that the policy which asked them to make up an order for five assorted titles in order to receive the 40 per cent rate was detrimental to university press sales. Several remarked that the varying scales were too confusing. A number of those who commented favorably did so in terms of recent improvements.

The protection policies of the presses were regarded as "satisfactory," "fair," or "good," by the large majority of the 75 booksellers who commented on this question. Eight dealers felt that full protection was desirable, at least to key stores, 6 asked for some standardized practices, and 4 were specifically in favor of having presses adopt the Joint Board Plan.

The majority of the booksellers appeared to feel that university press publications were subject to the same fluctuations in trade conditions as the trade titles of all publishers, to judge from their replies to the question, "Was the sale of university press titles any steadier in your store during the past year than the sale of trade titles in general?" Fifty-five dealers, or 64 per cent, said "No" or "Not especially." Thirteen dealers replied "Yes" and one said "Perhaps."

Many of the booksellers who availed themselves of the invitation to comment on the current role of university presses in the overall publishing picture commented favorably on the increase in sales of university press titles in recent years, and on the high quality of these titles.

> "As university presses place more of their books in general bookstores it will serve to increase the prestige of the trade in general — we hope dragging us out of the mire of

badly-written, badly-made publications flooding the market today."

"The university presses are doing a very good job on titles with a limited demand and of a specialized nature. We need the university presses. More business could be developed for them and for the booksellers with more thoughtful planning."

"I am glad to promote books which still appeal to people looking for merit in a book and who are guided by the subject and author rather than by over-advertising and garish jackets."

"We feel that many fine books of permanent value might never be published if the university presses did not exist."

"We feel that the university presses have a very important role to play in the present crisis in American publishing by making available important books which the regular trade publishers might feel they couldn't handle because of their more limited appeal and the high cost of manufacture on small printings."

"While not essential to our success or that of the industry, they certainly fill an important place in the book business at large."

"Difficult to say in absence of any specific comment from customers. Would say our customers more inclined to think a university press book more authoritative."

The less favorable replies usually contained complaints about discounts, returns, service, representation, etc. Here are a few which were typical:

"We would carry still more titles if their discounts were 40 per cent. We would be able to spend more time to promote their titles and call them to our customers' attention. I think the university presses have overlooked this matter, and it is a shame for they have so many worth-while titles which could become basic stock items."

"The discount generally allowed by university presses is inadequate. If the presses expect their publications to become more widely distributed through retail channels, this basic discount difficulty will have to be corrected. The overhead in the retail field is such that an average discount of 40

per cent is required if the retail outlets are to do a real job of book promotion and distribution."

"The best way to present books is through the services of a salesman, in the flesh. I might even go further and say that this is not only the best but also the only way to do the job adequately."

"No bookseller is anxious to build an inventory of slow-selling books."

Perhaps the most constructive criticism encountered during the Survey was addressed to a university press representative by a leading bookseller in 1945 and recently reaffirmed:

"On your frequent visits in the past you have presented the Blank University Press line and in so doing you have generally given us in various ways the information that a buyer needs when contemplating university press books.

"You have dropped a word here and there to the effect that certain titles are of interest only to libraries or to students or perhaps others with special interests.

"You have also stated definitely on many occasions that certain titles you thought would not have much of a trade sale and when occasionally Blank had a book that in their opinion and evidently yours had the possibility of a good trade sale you passed that information along to us which was much to our advantage, and of course, to the advantage of the Blank Press.

"In presenting this line you have no doubt had the advantage of information as to the size of the printing of each book and the amount of money to be spent in advertising and it has helped you considerably in deciding what the trade outlet would be....

"We imagine that it is next to impossible to have a personal representative of each press tour the country to sell books even once a year, and therefore, those who do have some representation must rely on commission men and we certainly believe that the commission men do the best they can with the material they have to work with.

"All too often they know too little about what they are attempting to sell and we imagine it would be better for all concerned if the various presses were more honest, perhaps

we should say more frank, with the commission boys. Why not tell them definitely or mark certain items in the catalogue that are highly specialized and are not expected to sell in an ordinary bookstore; give them more information regarding the size of the first printing; the amount, if any, in advertising; and the reason why there may be calls from the ordinary bookstore for that particular title."

Another attempt to test bookseller opinion of university press publishing during the Survey was made by examining two recent "basic lists" of titles prepared by dealer organizations. The first was issued by the American Booksellers Association as a "Basic Book List" designed to include all those titles "which a well-stocked shop should have on hand." Recent popular fiction and non-fiction titles were excluded, as were children's books. The 1948 edition of this list contained approximately 2,530 titles. Thirteen university presses were represented by 33 titles, or a little more than one per cent of the total.

The second list examined was issued in 1948 by the National Association of College Stores as a list of approximately 1,420 "essential trade books for the college store." Seven university presses issued 26 of these titles, less than 2 per cent of the total.

The following table shows the presses having publications in the foregoing lists:

	ABA	NACS
California	1	1
Chicago	12	6
Columbia	3	2
Cornell	1*	
Georgia	1	
Harvard	2	4**
Minnesota	5	
North Carolina	1	
Oklahoma	1	
Pennsylvania	1	
Princeton	1	6
Stanford	3	1
Yale	1	6
Total	33	26

*Under the imprint of the Comstock Publishing Company.
**Does not include 134 titles in the Loeb Classical Library.

Advance information on forthcoming books is provided to booksellers and librarians through several publications which, in effect, screen the annual flow and assist the middleman to watch for titles deserving of his special efforts. Inquiries were made of four of these publications to determine to what extent university presses were promoting their new trade titles this way.

Donald Gordon of the American News Company's News of Books, and Francis Ludlow of The Retail Bookseller both felt they were receiving adequate information and cooperation from university presses considering the limited trade market for the majority of their publications. Mr. Ludlow had this general suggestion: "If they enter the trade field, [they should] make sure they have genuine trade books and try to promote them as the trade does."

Virginia Kirkus noted that with a few exceptions university presses were not furnishing her Bookshop Service with information or proofs far enough in advance for her purposes. Specifically she requested that presses send advance announcements, notice of changes in plans, and galley proofs of books which merit trade publicity. Miss Kirkus also commented that on the one hand, certain presses described as "trade" books some titles which were obviously specialized, and on the other hand, too often did not realize the trade sale potentialities until it was too late to secure advance fanfare.

Alice Hackett of Publishers' Weekly listed the four points for cooperation from university presses and scored the members of the Association (with the exception of Toronto) on their recent performance:

1) On the question of sending one review copy of each new book to PW's Booklisting Department as far ahead of publication date as possible, 25 presses rated as "very good," "good," "fine," or "OK." Six presses were only fair or provided only information slips instead of review copies and in 3 cases PW had to send for all books.

2) PW sends out "Advance Book Information" sheets every month to each publisher, including 19 university presses. Thirteen presses replied satisfactorily, while one replied "sometimes" and the other 5 "seldom" or "never."

3) As for the response to requests for their advance season's list for PW's Spring and Fall Announcement Numbers, it was reported that such requests were addressed to 30 presses in

connection with the Fall 1948 Announcement Number and that 23 supplied the information and seven did not reply.

4) In the matter of sending advance galleys of "outstanding trade books" to Miss Hackett for inclusion in her weekly "Forecast," only 4 presses did so regularly, 3 "occasionally" or "haven't lately," and the other 27 did not do so. With respect to the latter, however, Miss Hackett added that it was not necessary for many presses to send galleys and that with a single exception the galley situation was satisfactory.

Satisfactory cooperation on all four of the above points at the time of the inquiry was provided by 10 presses.

How did the members of the Association promote their book publications during the Survey Year? It will be remembered that approximately one-third of the 727 titles published during this period were treated as "trade" books as regards discount. Data collected on promotion activities indicated that many of these titles were accorded trade treatment in this respect too.

Fifteen presses reported expenditures totalling $22,523 for "trade promotion"; that is, circulars, letters, posters, and other promotion pieces sent to retail outlets for their use in attracting customers, as well as promotional material sent to booksellers for their own information. These expenditures ranged from $61 to $8,061; the average spent by each of these fifteen presses was $1,502, but the median expenditure was only $805. It should be noted also that trade promotion expenditures were not necessarily confined to Survey Year titles; several presses indicated that the amounts spent covered a number of backlist titles as well.

Three other presses indicated expenditures of this kind but did not report them separately from other promotion expenses. Seventeen presses either reported that they had no expenditures of this kind during the Survey Year or did not supply information.

Another $22,027 was spent by 22 presses to call their publications to the attention of middlemen, both booksellers and librarians, by the use of space advertising in trade periodicals. The amounts spent by each press on this kind of advertising ranged from $45 to $3,032; the average was $1,001. Again it should be noted that the titles so advertised included backlist as well as Survey Year publications. Thirteen presses either

spent no funda this way or did not supply information on this point.

The largest part of this $22,027 expenditure in trade advertising was spent in the pages of Publishers' Weekly, where 19 presses reported they spent a total of $15,517 to advertise their new and old titles. The amounts spent in PW by each of these 19 presses ranged from $37 to $2,081; the average was $817.

Five of these same presses also reported they took space during this period in The Retail Bookseller for which they paid a total of $1,047. Four indicated they spent a total of $776 in the Wilson Library Bulletin and 4 reported a total expenditure of $279 in The Library Journal. Two said they paid a total of $683 for space in McClurg's Book News.

Each member of the Association was asked to describe the formula, if any, by which it was determined how much would be appropriated initially for advertising and other promotion expenses connected with each title. Three presses made no reply and 14 indicated that they had no set formula, 8 of the latter adding that they did not do enough advertising to warrant establishing a policy.

Among the remaining 18 presses, 4 replied that the "formula" varied with each title. As one press put it, "Each title is treated on its merits and in keeping with experience." Another said, "We try to determine the minimum promotion required by each book, and usually spend this, even if it exceeds a 'proper' percentage of net income of the first printing...we do not use any formula per se but try to do what seems indicated by the book itself."

Twelve presses reported some variation of a 10 per cent formula -- "of the net receipts expected from the first printing," "of anticipated sales during the first 18 months or fiscal year of publication," "of two-thirds of the list price times the edition," etc. Another press made an initial expenditure of 8 per cent of list price. Another press replied as follows:

> "Seventy per cent of one-third of the gross receipts from all sales are alloted to promotion. This includes the Sales and Advertising Department's overhead, such as salaries, and includes all sales work as well as advertising, direct mail, and publicity. For scholarly non-trade books, certain basic things are done for each book: seasonal catalogues, limited advertising in appropriate scholarly media, and, usually, a mailing, without regard to potential sales or sales

TABLE 13

SPACE ADVERTISING EXPENDITURES OF AAUP MEMBERS DURING SURVEY YEAR: NEWSPAPERS

Newspaper	Amount	No. of Presses	No. of Titles
New York Times	$58,811	350+	16
New York Herald Tribune	20,804	205+	14
Chicago Tribune	12,753	76+	13
San Francisco Chronicle	4,524	47	5
Philadelphia Inquirer	3,460	28	5
Chicago Sun-Times	1,606	32	5
Los Angeles Daily News	1,102	26+	3
Boston Herald-Traveler	740	9	5
Washington Post	500	4	2
	$104,300		
17 other newspapers, all but 2 by one press each, all under $500	1,949		
"Others" (in excess of 6 per press)	8,245	73+	9
Unspecified	35		1
	$224,529		
Total	$114,529		

TABLE 14

SPACE ADVERTISING EXPENDITURES OF AAUP MEMBERS DURING SURVEY YEAR: PERIODICALS

Periodical	Amount	No. of Presses	No. of Titles
Saturday Review of Literature	$14,073	181+	17
Atlantic	6,174	54+	6
Harper's Magazine	3,140	28+	4
New Republic	1,823	26+	4
Yale Review	1,488	69	4
New Yorker	1,214	6+	3
Nation	1,152	24+	4
Science	1,096	19	2
American Scholar	1,053	31+	5
Christian Century	963	7	2
	$32,676		
33 other periodicals, all but 3 by one press each, all under $850	6,266		
"Others" (in excess of 6 per press)	6,324	178+	12
Unspecified	235		1
	$45,001		

income. Textbooks are launched in the same way, but on a larger scale, and with considerable initial investment in direct mail with a view to future and continuing sales rather than current year sales. Trade books are given an initial appropriation for space advertising in general media, based on our estimate of sales, reflecting our judgment as to what needs to be done to launch the book properly, and with some reference to what the book will gross per copy as well as in terms of number of copies sold."

Whether the initial advertising appropriation for a given title is followed with further expenditures depends, as one press remarked, on whether "sales or convictions warrant." Another director commented, "Needless to say, we fudge on both initial and follow-through expenditures, which means that we are just as guilty of over-enthusiasm for our goods as a general publisher or a toy merchant may be."

To bring their book publications directly to the attention of the consumer, 30 presses reported they spent a total of $192,765 on space advertising other than that placed in trade journals. These funds were spent as follows: newspapers, $114,529; periodicals other than learned journals, $45,001; learned journals, $29,148; and other media, $4,087. Five presses either made no space advertising expenditures of this kind during the Survey Year or supplied no information.

The $114,529 spent on space advertising in newspapers was reported by 18 presses. Eight presses disclosed that they used no newspaper advertising during the Survey Year and 9 others supplied no information on this score. Of the amount spent, $104,300, or 91 per cent, was concentrated in 9 papers as shown in Table 13. Not shown is the fact that among the 9 papers listed, 5 received advertising from presses located in all sections of the country: The New York Times, the New York Herald Tribune, the Chicago Tribune, the San Francisco Chronicle, and the Chicago Sun-Times.

The $45,001 spent in periodicals other than learned journals was reported by 25 presses. Four presses reported they took no space in such periodicals and 6 others did not supply information. Table 14 shows that 72.6 per cent of the amount spent was concentrated in 10 periodicals.

Twenty-six members reported they spent a total of $29,148 during the Survey Year to advertise 314 titles in various

TABLE 15

MOST VALUABLE REVIEW MEDIA AS CITED BY AAUP MEMBERS

Review Medium	No. of Presses Citing	Place						Total Weighted Choices
		1	2	3	4	5	6	
New York Times	25	19	4	1	-	1	-	140
Saturday Review of Literature	23	3	2	12	1	2	3	86
New York Herald-Tribune	21	-	14	4	3	-	-	95
Chicago Tribune	13	1	1	3	6	2	-	45
Time	7	-	1	2	1	2	1	21
4 others	3 each							5 to 8
7 others	2 "							3 to 9
40 "	1 "							1 to 6

learned journals. Seven presses spent a total of $4,087 to advertise 70 titles in media other than those already mentioned.

To assist them in designing and placing their space advertising during the Survey Year, 14 presses used 8 different advertising agencies. The total amount of advertising placed through these agents was $159,224, or 82.6 per cent of all Survey Year expenditures for space advertising. Franklin Spier represented 4 presses, as did the firm of Sussman and Sugar; Denhard, Pfeiffer & Wells acted as agents for 3.

The reception accorded their publications in the leading book review media of the country is of mounting importance to university presses as the ratio of their general publishing increases. Each Association member was asked to list in order of importance the 6 newspapers and/or periodicals considered to be the most helpful review media in reaching the market for its general scholarly titles. Twenty-nine presses selected a total of 56 newspapers and periodicals.

Three newspapers and 2 magazines were considered by a wide margin to be the most helpful review media, shown in Table 15. The 4 publications each listed by 3 presses were the American Historical Review, The Atlantic, Harper's Magazine, and the San Francisco Chronicle. Listed by 2 presses were the Atlanta Journal, Christian Science Monitor, Dallas Morning News, The Nation, Newsweek, Philadelphia Inquirer, and The Yale Review.

Other methods employed to bring their book publications directly to the attention of the consumer included exhibits and institutional literature. Twenty-seven presses reported a total of $71,871 spent on this kind of promotion during the Survey Year; one more press indicated such expenditures but did not separate them from other promotional expenses. Institutional literature — seasonal announcements, annual catalogues, and other promotional pieces designed to advertise the entire output of the press — accounted for $36,550, or a little over 50 per cent of the total expenditure. This figure, which was reported by only 15 presses, did not cover the total spent by Association members on institutional promotion, however, since other information showed 31 members to be making expenditures of this kind during the period.

Eighteen presses reported the publication of 2 seasonal announcements or check lists during the year. Two of them reported the use of 3 such seasonal lists (one brought out a

summer checklist of books in May and the other issued a Christmas catalogue in November).

In 14 cases, the first announcement each year was called a "spring" list, in 4 cases it was issued as a "spring and summer" list. Three presses reported this "spring" announcement was brought out in January, 4 appeared in February, 8 in March, one in April, and one in May; one press did not designate the month. Fifteen presses called their second yearly list a "fall" announcement, 3 called it a "fall and winter" list. One of these appeared as early as June, 2 came out in July, 5 appeared in August, one in "August or September," 7 in September, and one in October; again one press did not report the month.

Five of these 18 presses indicated they issued an annual catalogue in addition to the seasonal lists. Thirteen of the other 17 members of the Association reported the use of annual catalogues as the only form of regular announcement.

An informal comparison between university press practices and those of commercial publishers indicated that the former apparently place a much greater value on the use of such institutional announcements. The average university press mailing on a seasonal catalogue appears to be four or five times larger than that of a trade house, usually because the press goes beyond the customary list of booksellers and libraries directly to the customer.

Exhibits of selected university press publications are held regularly each year, principally in connection with the annual meetings of various national associations in the fields of education, history, languages, science, medicine, etc. Twenty-four presses reported a Survey Year expenditure of $12,681 for such exhibits, much of which was spent through the joint exhibit program of the Association (see Chapter XVI).

Fifteen presses reported expenditures totalling $22,122 on "publicity"; that is, on news of forthcoming books and their authors in newspapers and periodicals. At least 5 presses handled such matters through the university's news bureau.

Thirty-four presses supplied information about the number of free copies of their book publications distributed during the Survey Year. The press which supplied no exact figures reported that from 300 to 450 copies of each of its publications were given to the university library for exchange purposes. These data are shown in composite form in the following table:

	No. of Titles	No. of Copies
Review	600	37,298
Samples	355	5,235
Desk Copies	181	2,704
University Library	514	2,485
University Departments	247	3,451
Exchange	16	3,067
Other	356	11,109
Undistributed	28	2,600
	Total	67,949

This press was the only one which reported that it gave copies free to its library. Twelve other presses indicated they made exchange copies available to their libraries at discounts (2 did so at cost). Four others indicated they exchanged only publications in series. Two presses reported new exchange policies in the making and another said the matter was left to the discretion of the director. Twelve presses disclosed, however, that the matter of exchanges was not of concern to them; 5 of these reported they had no policies, while 7 stated flatly that they did not exchange. One of the latter reported succinctly, "The custom of printing a quantity of books for exchange has died...We are making no effort to revive it."

A major method by which university presses seek to "find every possible harbor that will value their burden" is by mail addressed directly to the potential customer, who may respond either by placing his order with the press or turning to a bookstore or library.

Twenty-eight Association members submitted data showing a total expenditure of $74,230 on direct mail promotion during the Survey Year. Two others reported sums which were not separated from other promotion expenditures. All 35 presses engaged in this kind of promotion to a greater or lesser extent during this period.

A direct mail "campaign" may concentrate on one title or it may include several titles related either by subject matter or date of publication; it may include backlist titles as well as new publications. Thirty-one presses reported undertaking 401 such campaigns during the Survey Year. One press undertook as many as 54; two presses undertook only one each. The

average reported by the 31 presses was almost 13 per press, but the median number reported was 9. The 31 presses reported average mailings between 500 and 22,700. The median was 4,000.

Twenty-four presses estimated an average percentage of returns (orders placed directly with the press) on their Survey Year mailings. These percentages ran from one to 13.4 per cent. Eighteen were 5 per cent or below. It should be remembered, of course, that many direct mail results cannot be measured since they take the form of orders placed through bookstores.

The lists used for direct mail campaigns include those supplied by the Association's Educational Directory (see Chapter XVI), other educational sources, and commercial firms, as well as those compiled or built up over a period of time by the presses themselves. Special lists are often used in connection with special titles. The mechanics of direct mail required the use at a number of presses of from one to four full-time employees; part-time employees were often used for these labors, it was noted.

The techniques of direct mail in use at the time of the study varied enormously and were the subject of constant discussion among presses. The opinion encountered most frequently by this observer was summed up by the sales manager who said, "The whole problem still boils down to getting the right list for the particular book."

In 1933, the Princeton University Press determined to arm itself with correct figures to meet the confident statement so often made by authors, "Of course, every library will want a copy." The results of a questionnaire addressed to some 900 libraries inquiring about 20 Princeton titles then current, enabled the Press to announce the deduction that "the library sale of the average university press type of book should be around 300 copies." It was added that "of these, 200 will go to college libraries and 100 to general." This was apparently still true fifteen years later at the time of the Survey.

These figures refer, of course, to sales made directly to libraries. While the total purchasing power of American libraries has increased since 1933,[10] the habit of buying directly from the publisher has tended to decrease. It has been

10. Some educated guesses have placed the amount spent on books by all types of libraries in the United States during 1948 at "more than $29,000,000."

estimated that of the several million dollars spent by public libraries for trade books in 1945, at most 20 per cent went directly to publishers. The balance was spent through wholesalers, "semi-jobbers," and retailers.

Over 38 per cent of the retail booksellers mentioned earlier in this chapter indicated that some percentage of the books they purchased from university presses were intended for the library market. Asked to estimate what percentage of their sales of university press titles during the past year had been made to libraries, these dealers gave figures ranging from one to 90 per cent. Five reported 5 per cent, 4 gave 10 per cent. The average reported was 24.4 per cent, but the median percentage was half that.

An inquiry was sent by The Saturday Review of Literature to about 150 libraries of all kinds in late 1948 to find out what media first predisposed them towards buying a book. Over 90 per cent replied, revealing that they based their purchases of books on information received in Publishers' Weekly, which was named by about 56 per cent of the respondents, and the SRL, which was mentioned by about 50 per cent. The New York Times, New York Herald Tribune, The Library Journal, the American Library Association Booklist, The Retail Bookseller, and publishers' own announcements were also mentioned, in that order.

One more market remains to be mentioned, the not inconsequential foreign market which the members of the Association identified as accounting for 6 per cent of their total net book sales during the Survey Year. Fourteen presses recently supplied figures to their Association showing total foreign sales during the calendar year of 1946 in the amount of $260,450. In 1947, these same presses recorded foreign sales totalling $330,950, but in 1948 the total dropped back to $311,207.

About one-third of these sales were made to Great Britain and its empire, exclusive of Canada. During the Survey Year, 14 Association members were represented in Great Britain and the empire by the Oxford University Press. Three members were represented by the Cambridge University Press. Largely as a result of a visit to England early in 1946 by Rollin D. Hemens of Chicago, and Wm. Warren Smith, Jr., of Harvard, on behalf of the Association, relations between the American presses and their British representatives were generally satisfactory at the time of the Survey. The Hemens-Smith mission was able to determine what might be done to

increase the distribution of American university press books in the British Empire and in accordance with their recommendations, Oxford and Cambridge and the American presses they represent improved the mechanics of the relationship.

W. S. Hall & Company was sales agent for a number of presses in Europe. Two presses retained the sales services of Ben Russak, a resident European representative. European sales reported for 1946 by the 14 presses mentioned earlier totalled $45,450, rose to $52,050 in 1947, and to $70,098 in 1948.

The European market became a prime target for American book publishers, general and university, immediately after the ending of hostilities in 1945. A concerted attempt to distribute American publications in the liberated countries was made through a cooperative organization known as the United States International Book Association (USIBA), launched in late 1945 with the support and encouragement of the Department of State. Over twenty university presses took part in this enterprise, which was abandoned as unworkable a little over a year later (wisely, according to some participants, prematurely, according to others).

At least twelve presses were represented in various parts of Latin America and the Near and Far East by Henry M. Snyder & Company. Two other presses had their books sold by the Snyder agency in Latin America only.

World markets, and in particular the European market, continued to occupy the joint attention of American book publishers after the liquidation of USIBA. In 1948, the American Textbook Publishers Institute, the American Book Publishers Council, and The Association of American University Presses, speaking in the name of over one hundred publishers, addressed a memorandum to members of the Congress and the Departments of State, the Army, and Commerce, stating the case for the use of books "as a means of strengthening permanently the long-range policy of world rehabilitation and national self-defense." The memorandum recommended[11] that the United States Government take active steps to assist the flow of American books abroad, in particular by enabling foreign nations to secure these books "by means of a program providing adequate dollar payments to the American publishers involved, such transactions to take place to the greatest possible extent through normal channels of commercial intercourse." A joint foreign trade committee representing the three groups con-

11. The University of Chicago Press dissenting.

tinued to pursue these matters throughout the period of this Survey, occupying themselves in late 1948 with the problem of "the use of guarantee funds under the Economic Cooperation Act (sic) of 1948 in connection with improved circulation of U.S. books in Marshall Plan countries."

Two plans for hurdling the exchange barriers came into existence during the period of the Survey, one when the United Nations Educational, Scientific and Cultural Organization (UNESCO) launched its Book Coupon Scheme early in 1949, the other when the Committee for American Remittances to Europe (CARE) announced plans for expanding its service to include books. Both projects were designed to make it possible for educators, scholars, and others in war-devastated lands to obtain needed books and periodicals from other countries, principally the United States.

To find out in what regard university press titles are held by branches of the United States government concerned with the distribution of American books abroad, certain lists prepared by the Library of Congress, Department of State and Department of the Army were checked for university press representation.

The first of these was The United States Quarterly Book List which is prepared by the Library of Congress as part of the program of the Department of State's Interdepartmental Committee of Cultural and Scientific Cooperation. This periodical is "a highly selective bibliography and review of currently published United States books which are believed to make a contribution to the sum of knowledge and experience." As of September, 1948, the circulation was about 7,500 copies, of which some 600 were distributed within the United States and the rest sent abroad, either to individual subscribers or for distribution through American embassies and consulates. The periodical was first issued in 1945 by the Library of Congress, but has been printed and distributed since September, 1948, by the Rutgers University Press.

A total of 884 titles were listed in the four 1948 issues of this periodical, of which 295, or 33.4 per cent, were published by university presses. Eleven of these university press titles were issued by affiliated members or non-members of the Association (Huntington, 2; Oxford, 4; Alabama, 3; Antioch, one; and Texas, one). The remaining 284 titles were distributed among 24 Association members as shown in the table on the following page.

The table shows also the results of an examination of the list of American books supplied to Occupied Germany under United States governmental supervision since the end of the war. This translation program, which provides for publication by licensed German publishers, was begun in 1945 by the Office of War Information, carried on by the Department of State, and is now administered by the Department of the Army. Up to the end of December, 1948, 335 titles had been translated and published in Germany under post-war contracts or had been sold to German publishers and were awaiting publication. Thirty-two, or 9.6 per cent of these titles, had been published in America by 8 university presses, all members of the Association, as shown below:

Press	U. S. Quarterly Book List in 1948	German Translation Program
California	22	-
Catholic	1	-
Chicago	33	12
Columbia*	54	1
Cornell**	13	-
Duke	4	-
Georgia	1	-
Harvard	46	6
Illinois	5	-
Iowa State	2	-
Johns Hopkins	4	-
Louisiana	6	-
Michigan	3	-
Minnesota	4	1
New Mexico	1	-
New York	2	-
North Carolina	10	1
Oklahoma	4	4
Pennsylvania	8	-
Princeton	21	-
Rutgers	8	1
Stanford	4	-
Syracuse	2	-
Yale	26	6
Total	284	32

*and King's Crown Press
**and Comstock Publishing Company

University press publications also fared well when the United States Department of State decided what American books should be purchased for traveling exhibits or for inclusion in the thirty-odd information libraries and institutes maintained around the world by the Department. In the fiscal year ending June 30, 1947, the Department's Division of Libraries and Institutes purchased a total of 107,336 copies of American titles for such exhibits and collections, of which 12,170 or 11.3 per cent, were copies of university press publication. These 12,170 books represented 2,249 university press titles. No breakdown of these titles by presses was available.

These then, were the channels through which the university press books published during the Survey Year by members of the Association were sold. As has been shown, 59 per cent of their total sales during this period were achieved through dealers, 6 per cent through foreign distribution, with the other 35 per cent through other channels or directly to the consumer.

The net book sales of the 35 members of the Association during the Survey Year totalled $4,170,640. The highest figure reported by any one press was $765,591; the lowest was $825. The average for the group was $119,161, but the median was only $36,000. Twelve presses reported net book sales of $100,000 or above. Thirteen presses reported sales below $20,000.

Other data were collected about these Survey Year sales. Thirty-three presses reported that backlist titles (those published previous to the Survey Year) accounted for from 13 to 96 per cent of their total sales during this period. The average for these 33 presses was 59 per cent, but the median percentage reported was 66 per cent.

One press director volunteered that of the 25 best-selling titles which accounted for a little over 50 per cent of Survey Year sales, 13 were backlist titles, and 5 of them were 5 or more years old.

Thirty presses provided information on the largest number of copies sold during the Survey Year of any individual backlist title. These sales reports on individual titles ranged from 25 copies of one backlist title of one of the newest presses to 40,277 copies of a textbook published by one of the older presses. The second highest figure reported was 15,063 and 5 other sales of a single backlist title topped 5,000. The average

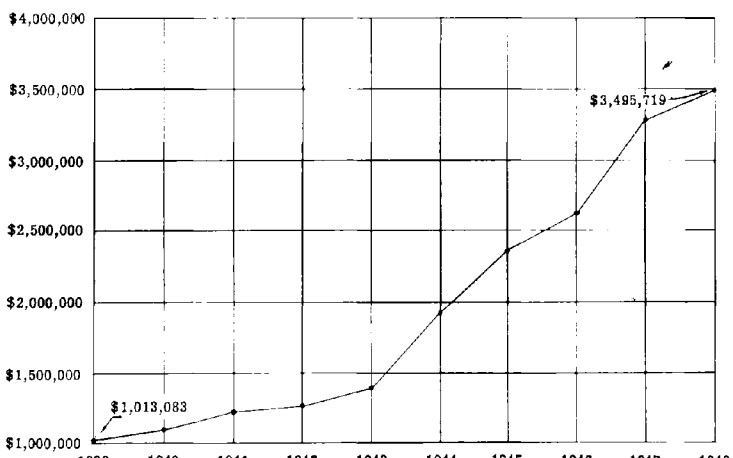
Table 16

ANALYSIS OF ORDERS, THREE MONTHS, 30 AAUP MEMBERS

Month	No. of Orders		No. of Copies		No. of Titles		Value	
	Range	Median	Range	Median	Range	Median	Range	Median
June, 1947	20-5,285	337	20-58,719	1390	6-898	76	$45-$51,348	$2,080
November, 1947	38-6,323	404	69-26,961	1552	5-750	78	$81-$58,567	$4,291
March, 1948	51-7,126	510	54-18,600	1556	8-936	84	$87-$58,753	$3,636

Figure 1

Net Book Sales, 1939-1948, as Reported by 20 AAUP Members



reported by the 30 presses was 4,540, but the median sale reported was 2,225.

The same 30 presses also supplied figures on the largest number of copies sold of any current title (published during the Survey Year). The highest figure reported was 9,633, the lowest was 167. Seven other figures topped 5,000 copies. The average for the group reporting was 3,281, while the median sale was 2,613. It will be noted that even if the large textbook sale mentioned above were omitted from consideration, the average sale of a backlist title would compare favorably with the average reported for the largest individual current sale.

Further evidence of the long-range nature of university press publishing may be found in the fact that of the total of 16,524 titles published by the 35 Association members since their founding, only 4,731, or 28.6 per cent, were out of print as of July, 1948, and only 634, or 3.8 per cent, were out of stock as of that same date.

Thirty members of the Association provided analyses of their recent book orders during selected periods, with results shown in Table 16. Two presses supplied no information at all, while 3 others supplied only partial information and were omitted from consideration.

It will be readily seen from these data that the average month's orders received by a university press are for small quantities of a comparatively large number of titles. The paperwork involved is extensive considering the dollar value of the average order. The processes followed by the majority of the presses in handling invoicing, billing, and keeping distribution records seemed in general to suit their individual needs and no detailed study was attempted.

Members of the Association were asked to report annual net book sales for the past ten years and 20 presses were able to comply. These 20 presses accounted for 82 per cent of the total net sales reported by the 35 Association members for the Survey Year. How the total sales of these 20 presses have increased from 1939 through 1948 is shown in Figure 1.

When members of the Association were asked whether during the Survey Year they had leased to a reprint publisher the right to bring out a reprint edition of any title, five presses replied in the affirmative. Chicago had leased one title to the Modern Library, Minnesota one to Grosset & Dunlap, Rutgers two to Grosset and one to Doubleday. University Press in Dallas had turned over a title to Grosset and Yale had contracted to let Penguin bring out one title. This total of only seven

titles made it clear that university presses did not and could not depend to any great extent on this kind of extra income, as did many commercial publishers.

Nor does the problem of disposing of stocks of books no longer considered marketable at the original retail price concern university presses so acutely as it does commercial publishers. Queried about their "remainder" policies, 5 presses reported they did no remaindering, while 12 others indicated they had no policy (3 indicated that the problem existed, however, and that a policy was in the making).

Of the other 18 Association members, 4 reported that they had done some remaindering in the past but did not remainder regularly at the time of the Survey. Four others reported they did not remainder books by the usual method of disposing of them to specialized dealers but instead offered moribund titles to the author or the faculty or to schools at special prices. The other 10 presses, most of them older and larger organizations, reported the following on their remaindering policies:

1. "We offer overstock (as soon as it can be recognized) and remainders to approximately 20 remainder dealers. We accept highest bids either on single titles or groups of titles. We never sell complete stock unless all trace of demand has disappeared."

2. "Each title considered for remainder 5 years after publication; all titles re-considered every 3 years. Only balance of stock, not partial stock, remaindered."

3. "Dispose of inventory when a title is no longer marketable. So far we have never disposed of 'overstock' as differentiated from 'complete remaining stock.'"

4. "Until recently the Press had done little remaindering except on a small scale through the University Library, etc. However, we have now adopted a policy which permits us to remainder to such outfits as Harlem books of our which we consider too old and too unsalable for us to move at the list price or a reasonable approximation thereof. This new policy has been in effect only a brief time but it appears that in general we will consider remaindering any book of ours published as many as five years ago and selling as few as ten copies a year."

5. "Book must be at least 5 years old and sales must be still slow after several mail campaigns."

6. "After 3 years, offer to remainder companies if not longer marketable. Space and timeliness regulate decisions."

7. "Bargain book prices (reduction 50-65%) on all stocks with low inventory valuation. Remainder sales on books selling only 1 or 2 copies a year for a period of several years and having no inventory valuation."

8. "No title of continuing scholarly value ever knocked o.p. Overstock sometimes reduced for the occasional title that has lost usefulness because of movement of events. Almost all our remainders in last decade have been titles 10 years old or old editions of re-issued books."

9. "Do not remainder or put out of print before five years. Usually sell overstock through special sale or remainder through established remainder houses.

10. "We believe in remaindering overstock after a reasonable time because we feel the books are of more value in circulation than in our stock room. We always hold enough copies to keep the titles in our catalogue for many years."

At least one of the foregoing presses conducts a periodic "distribution sale," through which certain of its slow-moving scholarly titles are disposed of directly to the public at reduced prices. A catalogue mailed out in connection with a Spring 1949 sale included over 300 titles, most of which were offered at a 50 per cent reduction from the original retail price.

Only six presses reported on the number of titles remaindered during the Survey Year. These six presses disposed of stock of a total of 174 titles for a total of $4,534.

This account of the distribution practices of the presses studied will conclude with the problems of shipping and warehousing. Again the diversity of problems was large and the methods of meeting them varied. Each press was asked to describe its practices and its difficulties and twenty-one of their replies have been selected to demonstrate the nature of conditions existing at the time of the Survey:

1. "Our shipping and warehousing is handled in leased

space totalling 19,235 sq. ft., 6 miles northwest of our office and printing plant. Our truck makes one round trip each day between the warehouse and the office. Rental averages $.628 per sq. ft. per year...We have no depositories... Our warehouse space has been increased by some 3,000 square feet within the last 3 years but we are still having a major problem in finding room for our stock. At the moment 8 or 10 skids of books are in a public storage waiting room at our warehouse. Although we have recently disposed of a large quantity of remainders our stock still contains a sizeable percentage of books both bound and unbound which are surplus in that they will not be disposed of in the ordinary method of sale. We definitely need cheaper space in which to store slow moving, but valuable scholarly works. We also feel that our high cost of rental may justify building our own storage and shipping facilities if a suitable site can be found nearer the University."

2. "Press performs all its own shipping and warehousing functions through its Stock Department, which is located in another building. Books and unbound sheets are stored in seven different buildings, three of them on the campus and four at the other location, these latter being buildings once used as the medical school. Approximately 20,000 square feet are available in the seven buildings...Because of the various types of material, publications are stored according to three different methods: (a) numerical order; (b) alphabetical order, according to subject; and (c) numbered bins. For books stored by the latter method, an alphabetical author and title card file serves as a guide to bin numbers. The main stockroom is used chiefly for newer titles and staple items, such as textbooks. As books get older and sales decline the stock is moved to one of the secondary storerooms. Ten persons are employed in the Stock Department. Orders are processed and invoiced in the main offices of the Press and sent to the Stock Department twice a day by messenger. Two stock clerks, using carts, pick out the books. The shipping clerk checks orders against books and determines the shipping charges. Three packing clerks pack and wrap orders, stamp, and bag the mail. A postage meter machine is used. Outgoing orders are sent to the postoffice each day at 4 P.M. Trucking service is by hire, not our own truck. Receiving and warehouse work is performed by a receiving clerk and two stock clerks. All books

are counted, checked, recorded, and put into stock as soon as possible after they arrive. Books returned are also checked in by the receiving clerk. Seventeen percent of one-third of the gross receipts from sales is allocated to the costs of the Stock Department. The warehousing problem is complicated by the large number of different titles and the relatively long period of time a book is in print. The work is more difficult and expensive because of this than it would be if the same number of books, but only a few titles, had to be stocked. Physical facilities are not ideal because the space available through the University is in buildings not designed for this type of work."

3. "The Press will have available as of September 1, 1948, a new fireproof warehouse (quonset) of 60,000 cubic feet. This will make it possible for us to store all stock (bound) and should meet our storage needs for several years to come. Stock in sheets will be held by the printer. We plan for long-term storage on titles and are rather pleased to have in stock one title that was published in 1886. Stock as needed, is taken from warehouse to shipping rooms at Press. Press has own facilities for miscellaneous hauling, deliveries, etc."

4. "All storing and shipping is carried on in our stock room, located in one of the University Buildings. Space is inadequate. In time we may have to seek space elsewhere for twenty-year-old non-moving titles, or else revise our policy on remainders. Shipping problems arise, but are not insuperable. Most orders are small; the post office is quite near our stock room. A University-owned truck is resorted to when large orders come up."

5. "We have no shipping problems that are not common to all publishers who have rather large backlists. We attempt, with success which varies widely depending on the season, to get all shipments into the mail not later than the day following the day on which the order was received. Warehousing presents a very serious problem because of the large number of titles on the list, and we have been unable to secure adequate storage space in any one building for our entire bound stock. As a result our stock is divided as follows:

1. A working stock of all titles is kept in two large basement rooms in a building across the street from our publishing office. All shipping is done from this building.

2. Two small rooms in the basement of a dormitory are utilized for the storage of periodicals.

3. The bulk of our surplus stock is stored in the basement of the Library.

4. In addition we utilize the facilities of our binderies. Four binders are asked to store new books for a short term. By special arrangement a fifth binder stores not only recently bound books but substantial amounts of older stock.

All storage is in wooden bins except in the shipping room where the active stock is on steel shelving. The shelving on which the working stock is placed is arranged to speed handling rather than to hold the maximum quantity of books. A long wide aisle runs the length of the two rooms and the aisles between the tiers of shelves are wide enough to facilitate the use of trucks and dollies. The shelves are shallow and few are more than 18" in height. Copies of every book on the list can be reached from the floor without climbing. Extra stock is temporarily put on the top shelves to be brought down to the lower shelves in the same tier as needed. We find that the use of the smaller shelves almost completely eliminates waste space in the working area and enables our shippers to make up orders with greatly increased efficiency."

6. "Active books are stored in University buildings. Postal substation is in same building. Book orders are written up by sales clerk in general offices of press. Actual shipping is be centralized University Mailing Service (under jurisdiction of Press). The Mailing Service operates on a revolving account and charges University departments (including the Press) for its services at fixed hourly rates. Shipping and warehousing books of the Press accounts for only a tiny fraction of the total operations of the Mailing Service."

7. "All books are stored in the building which houses our publishing offices, except for unbound copies of about 50 titles which are stored at the plants of the printers who printed them. There is little semblance of system in storing — so far. We are going into this problem, however, and hope to evolve a 'system' soon. We receive all orders, and ship all books from our stock rooms in the building we are in."

8. "Books are stored in attic at building occupied by the Press. A shipping and mailing room is maintained in the Press offices, in which are kept current stock and facilities for wrapping and mailing. Incoming books are hauled to the attic by the University operation and maintenance department, and are handled from that point by University Press personnel."

9. "One floor of the Press building is devoted to warehousing, with a portion of this space alloted to mailing room. A limited supply of each publication is kept in the mailing room, the actual number stocked dependent upon frequency of demand. Stocks here are replenished from the warehouse as needed. Books in warehouse are for the most part unpacked when received and stored in bins. Occasionally an outside warehouse facility is employed, in which case stocks are requisitioned for use as needed."

10. "Press has its own shipping room and warehouse adjacent to its main offices (same building). The active shipping space is 2153 square feet. The storage space is 1530 square feet. The problem of space is acute and will remain so until a building program by the University is feasible. In the active shipping room there are 6 sections of 4 bins each (8' x 3'): 10 sections of 5 bins each (16' x 24') or a total of 193 bins — all pre-war steel. The Press handles its own shipping and warehousing. Books are delivered directly from bindery to Press shipping dock and stored and binned. A card index is maintained listing each title and where binned. A physical inventory is taken twice yearly July 1 and January 1. A running inventory is maintained daily from stock book. Posting to this stock book from invoices is responsibility of senior stores clerk."

11. "We have three small rooms (entirely inadequate), in two buildings, assigned to us for warehousing purposes. Some of our books are stored in open hallways. We operate our own shipping department and do most of the mailing for other university departments. Stock storage is our most vital problem. Two of our storerooms are in the basement of a dormitory, a decidedly unsafe place."

12. "Our shipping and warehousing is carried on entirely apart from the University. The major part of our stock is housed in the building occupied by the Press. However, we do have an agreement with two printers, whereby they hold

for us in their warehouses bound copies of books which are likely to require shipment in fairly large quantities....We can have these binders ship or deliver orders on single titles direct from their stock rooms, or ship us additional stock upon request. Otherwise, we handle all packing and shipping here in our own shipping department, which adjoins the stock room. We do maintain stock here on all titles in print. Seven copies of invoices are made, first copy going to the customer, second copy going to the customer if requested, third and fourth to the business office, fifth retained in the order department for counting sales, sixth to the shipping department, and the seventh copy is the salesman's. Invoices are made on an electric, continuous form billing machine. Storage is going to be, within a few years, one of the most pressing problems. Our first large remainder sale three or four years ago came as a result largely of an urgent need for storage space, and the remainder policy has been continued for pretty much the same reason. We have no immediate suggestions or plans for securing storage in this area but have already indicated to the University administration that within a few years we are going to be faced with a storage problem and will need their help in solving it. The present shortage of space has meant remaindering of some books that we might normally have kept in stock for a longer time."

13. "Our shipping and warehousing is handled by one shipping clerk. We have one large book storage room used both as a warehouse and shipping room. We also have one large warehouse outside the Press but located on the University campus. Books are stored in wooden crates until they are needed. In the shipping area of the storage room there are open shelves which hold copies of all titles for convenience in shipping current orders. These shelves are restocked as necessary. Packages are delivered by the shipping clerk to the University post office."

14. "Our own stockroom and shipping room; supplementary storage at binders and in an outside warehouse. The cost of long-term storage is a major item of expense for university presses."

15. "With one exception* all shipping of books is carried on

*In special cases arrangements have been made with a printer to ship all advance orders of ten or more copies directly to the customer.

at the Press building. Books are stored in the basement along with shipping cargons, and packaging is done on the first floor in a room set aside for that purpose. Daily deliveries are made to the post office. Since our basement space is not sufficient to hold all of our books in print, and because of the lack of suitable storage space anywhere else on the campus, arrangements have been made with printers of our titles on which larger printings have been made to store excess stock in their warehouses until needed here. This requires careful stock checks to insure our having books in print available at all times — transportation requires from five to seven days — but the system has worked satisfactorily except on one occasion when a truck strike held up shipment of a title urgently needed."

16. "Recently acquired adequate warehouse on University Property for paper, sheet, and bound stock storage and shipping room. Long-term storage problem acute until this space made available. Try to keep bound stock requirements to one year's supply. No other depositories except agents and dealers buying on open accounts."

17. "Our shipping and warehousing are simple matters. We store all our books in one section of our own building, and we do all shipping for our plant. We have one full-time shipper and stockkeeper plus a part-time assistant."

18. "Warehousing of books is in three different university buildings. Bulk of stock is kept on bottom level of library, which is air-conditioned. Library is short of space for its own books, however, and we cannot expect to secure facilities for any more stock on a long-term basis. Remainder of stock is kept in shipping room and in general offices, Shipping room is a cramped and dark cubbyhold under some stairs, not beneficial to either personnel or books; we have suffered some damage to stock from insects and high temperature. Shipping is done by student who works part-time (18 hours a week) and also must find time to prepare labels, keep circulation records and run off stencils for several periodicals, and keep track of inventory of supplies as well as of books. If we could sell as many books as we should, he would be swamped."

19. "We store our titles on our own premises, with a complete stock adjacent to our mailing room. The wrapped packages are picked up by our campus mailman and are

delivered by him to the post office. Right now we are storing many of our new titles in printed sheets rather than in finished condition. As production increases our space problem becomes more acute."

20. "Press is located in the Library School Building on the campus. The basement of this building serves as shipping room for the Press. In it are storage shelves adequate for our shipping needs. In addition, the University now has a large amount of space in a former army supply base about ten miles across town. In the latter the Press has a room with an outside door and small loading dock. This is used for dead storage of flat sheets and the bulk of large editions. Our usual practice is to direct the printer to deliver 500 copies of each edition to the Press. These go into the basement and are used for immediate shipments. The remainder of the edition goes to the storage house. From time to time the shipping clerk takes a university car, drives to the storage house, and brings back books in numbers of 100 to 500 of the titles on which he sees we are running low in the basement. We warehouse and ship all our own orders directly from our building. We employ a responsible, part-time student as shipping clerk. He comes in three times a week, packages and mails all waiting invoices. On Saturdays, as circumstances require, he puts the stock room in the basement in order, checks deliveries of new editions at the storage house, and brings back books as needed."

21. "We have our own stock and shipping room in the same building with our printing plant at a different address from our publishing office. All shipments are made from the stock room except large shipments which when possible are sent direct from the bindery or in the case of a new book where a number of trade orders are shipped from the bindery. All of our stock is stored at the shipping room on metal shelves and in cases, except for the stock of new publications held for a time at the bindery. We have no outside depositories. There is of course the constant problem of space with the increasing physical inventory, and remaindering helps to relieve the strain."

These descriptions encompass the shipping and warehousing problems peculiar to this kind of publishing. It may be pertinent to add the comment made by the director of one of the older presses: "Every director and sales manager should

walk through his stock room at regular intervals as a sobering and depressing experience!"

This chapter on the distribution of university press books will conclude with a challenging statement made by Savoie Lottinville in 1947:

"Manufacturing books is a job that almost anyone can do. Selling them is another matter. I have no patience with the theory that scholarship has discharged its obligation by merely getting itself into print. Books of any significance at all are meant to be read, and the means to that end bear a fatal resemblance to commercial practice. Any university press that, on the merits of its book and by intelligent advertising and marketing, can achieve a best-seller has done a vast service, in my opinion, to scholarship and to the general public. It goes without saying that such an opportunity comes infrequently, but when it does it ought to be welcomed. The backbone of any scholarly list, however, is the important, well-written book which sells from 2,000 to 2,500 copies. Books of this type are not sold in such quantity to scholars and libraries alone. In the main they must be sold over bookstore counters. What does this mean in terms of selling effort?

"In the first place, advertising must be looked to. Commission salesmen must be retained — enough of them to achieve representation with the stores in all of the major cities of the country (at least three trips a year). There must be direct-mail promotion, publicity releases, and, on occasion, long-distance telephone calls.

"I must make myself quite clear: if the universities of this country are doing a satisfactory job, they are turning out yearly several thousand young men and women of serious intellectual interests. Failure to exhaust every effort to put university-made books into their hands, when their interest has been stimulated, is not only unbusinesslike but unscholarly. Our experience...is as follows: on average we sell not more than 300 copies of a book to libraries, 300 to 500 to scholars, and from 1,000 to 2,000 to laymen. To me this means that American education is not achieving its goal of an intelligent citizenship."

XII. Non-Book Activities

"The more they strive the more they may."--Robert Burton

The book publishing activities of the university presses under examination were not the only concern of the Survey but they were its principal concern. The non-book activities of these presses, however, were an important component of the services rendered to their universities, to scholars, and to society at large. The two major non-book activities were periodical publishing and printing. Others included the publishing of pamphlets, tests, syllabi, maps, etc., the maintenance of bookstores, and the conduct of certain service functions, such as duplicating facilities, mailing departments, etc.

Over one hundred periodicals were handled by 25 members of the Association during the Survey Year. These publications included learned journals, bulletins, reviews, quarterlies, annual papers, and one alumni weekly. The functions performed by the presses in connection with these periodicals embraced editing, designing, printing, distribution, promotion, and bookkeeping.

It will be remembered that a number of presses began their publishing activities with periodicals. This was true of Johns Hopkins and several other members of the Association. Others, led by Chicago, began periodical publishing coincidental with their first book publishing. At the time of the Survey, periodical publishing played at least as important a part as book publishing in the affairs of several presses, including Duke, University Press in Dallas, and Washington. Ten presses did no periodical publishing during the Survey Year: Fordham, Louisiana, Loyola, Minnesota, Pennsylvania, Pittsburgh, South Carolina, Syracuse, Wisconsin and Yale.

Twelve members of the Association handled about 85 per cent of the periodicals under consideration. Chicago led the field, publishing 22 periodicals and acting as agent for an unspecified number of other journals. Duke and Johns Hopkins followed with 8 apiece. California and University Press in Dallas each had 6 under their wings and Columbia, Toronto, and Washington each had 5. Four periodicals each were handled by Cornell and North Carolina, while Harvard and Princeton were each responsible for 3. A full list of the periodicals handled by the members of the Association at the time of the study follows, grouped by presses:

1. California:	Bulletin of the Seismological Society Society of America
	The Trollopian
	Western Folklore
	Hollywood Quarterly
	Pacific Historical Review
	Romance Philology
2. Catholic:	The American Ecclesiastical Review
	The Catholic Historical Review
3. Chicago:[1]	Astrophysical Journal
	Botanical Gazette
	The Journal of Business of the University of Chicago
	Classical Philology
	Elementary School Journal
	Ethics
	Journal of Geology
	Journal of Infectious Diseases
	The University of Chicago Law Review
	Library Quarterly
	The Bulletin of Mathematical Biophysics
	Journal of Modern History
	Modern Philology
	Journal of Near Eastern Studies
	Physiological Zoology
	Journal of Political Economy
	Journal of Religion

1. Also was agent for certain Cambridge and miscellaneous journals.

	School Review
	Social Service Review
	The American Journal of Sociology
	College English and English Journal
	Junior College Journal
4. Columbia:	American Speech
	The Germanic Review
	The Puerto Rico Journal of Public Health and Tropical Medicine
	The Review of Religion
	The Romanic Review
5. Cornell:	The Philosophical Review
	New York Folklore Quarterly
	Industrial and Labor Relations Review
	The Far Eastern Quarterly
6. Duke;	Ecology
	Duke Mathematical Journal
	The Journal of Personality
	South Atlantic Quarterly
	American Literature
	Southern Association Quarterly
	Hispanic American Historical Review
	Ecological Monographs
7. Georgia:	The Georgia Review
8. Harvard:	Harvard Theological Review
	Quarterly Journal of Economics
	Review of Economics and Statistics
9. Illinois:	Journal of English and Germanic Philology
10. Iowa State:	The Iowa State College Journal of Science
	Farm Policy Forum
11. Johns Hopkins:	American Journal of Mathematics
	American Journal of Philology
	Bulletin of the Johns Hopkins Hospital

	Bulletin of the History of Medicine Human Biology Modern Language Notes ELH, A Journal of English Literary History Terrestrial Magnetism and Atmospheric Electricity
12. Kansas:	The Western Review
13. Kentucky:	The Journal of Southern History
14. Michigan:	Ars Islamica Papers of the Michigan Academy of Science, Arts, and Letters
15. Nebraska:	Nebraska Law Review Prairie Schooner
16. New Mexico:	New Mexico Quarterly Review Southwestern Journal of Anthropology
17. New York:	The Journal of Economic History
18. North Carolina:	North Carolina Law Review The High School Journal Studies in Philology The Journal of the Elisha Mitchell Scientific Society
19. Oklahoma:	Books Abroad Oklahoma Law Review
20. Princeton:	Princeton Alumni Weekly Public Opinion Quarterly Annals of Mathematics
21. Rutgers:	The United States Quarterly Book List
22. Stanford:	The Pacific Spectator
23. Toronto;	University of Toronto Quarterly University of Toronto Law Journal Canadian Journal of Psychology Canadian Journal of Economics and Political Science Canadian Historical Review

24. University Press in Dallas:	Perkins School of Theology Journal
	Wrightia
	Field and Laboratory
	Texas Geographic Magazine
	Southwest Review
	Southwestern Law Journal
25. Washington:	Modern Language Quarterly
	Pacific Northwest Quarterly
	Pacific Northwest Industry
	College of Education Record
	Soviet Press Translations

Certain data about these publications were requested from the sponsoring presses, which provided more or less complete information about 96.

An examination of these data disclosed that 23 periodicals were published for or in association with learned societies, associations, academies, foundations, and other non-university institutions, including in one instance the Library of Congress. Of the remaining 73 publications, 2 were published for universities other than the parent institutions of the presses concerned and three were purely press ventures. The rest were published for or in association with the respective parent institutions of the presses or departments, divisions, and schools thereof.

Sixty-nine were published quarterly, or 4 times a year. Seven were brought out bi-monthly, 5 semi-annually, and 3 monthly. Two were issued 10 times a year and 4 others were issued respectively 8, 6, 5, and 3 times a year. Three were issued as annuals (Michigan's Ars Islamica and Papers of the Michigan Academy of Science, Arts and Letters, and Toronto's University of Toronto Law Journal, 2 annual numbers of which constituted a volume). One was issued "irregularly" (Wrightia which had been brought out 4 times in the 4 years by University Press in Dallas). One was issued 18 to 22 times a year (Washington's Soviet Press Translations) and one was issued weekly during the academic year and monthly during July, August, and September (Princeton's Alumni Weekly).

Fifty-four of these periodicals had been handled by their respective sponsoring presses ever since they, the periodicals, had first been established. Eight of these were established before 1900 (Johns Hopkins' American Journal of Mathematics, 1878; American Journal of Philology, 1880; Bulletin of the

Johns Hopkins Hospital, 1889; and Terrestrial Magnetism and Atmospheric Electricity, 1896; Chicago's Journal of Political Economy, 1892; Journal of Geology, 1893; Astrophysical Journal, 1895; and American Journal of Sociology, 1895). Eighteen had been established since 1939, 15 of these in 1945 or later.

Forty-two periodicals were taken over by the presses now handling them some time after the founding of the publications. In 3 of the 42 instances, the press had assumed responsibility for the periodical prior to 1900 (Chicago's Journal of Near Eastern Studies, first published as Hebraica in 1884 and taken over by the press in 1892; Botanical Gazette, founded in 1875 and transferred to the Chicago press in 1896; and School Review, established in 1893 and handled by Chicago since 1896). Thirteen others had been published by the presses since 1939, 8 of these in 1945 or after, making a total of 31 periodicals for which presses had assumed some form of responsibility since 1939, 23 of them since the end of World War II.

The presses seldom had editorial control over the contents of these publications. In many cases, they were responsible for copy-editing and proofreading but only 2 instances were reported where the editor of the publication was a full-time paid employee of the press (Princeton's Alumni Weekly and University Press in Dallas' Southwest Review). In one other case the press director assumed a share in the responsibility for the selection of manuscripts, although the nominal editor was a member of the faculty.

Seventy-seven of the 96 publications were edited by a member or members of the faculty of the parent institution in addition to other academic duties, although 3 of these were professors emeriti. Five publications were edited by faculty members of other universities and 8 by editors with outside institutional associations. Four (all law journals) were edited by students. Only 5 of the 96 were edited by individuals with no other duties, i.e., on a full-time basis, including the 2 press editors mentioned above.

In 63 cases, it was indicated that the editor had what amounted to full editorial control, although in many instances he was nominally responsible to a committee or board. In 31 cases, the authority of a committee or board appeared to be exercised more definitely.

In 90 cases, the press was responsible for the printing of the publication, either at its own plant or outside. In 94 cases, the press reported it was concerned with some phase of distribution.

The average number of pages for these periodicals was between 16 and 300 (except for one Michigan annual "limited to 400 pages"). Seventeen of these periodicals reported that their average number of pages was 128; 11, that it was 80.

The annual subscription rates of 80 publications in the group ranged between $1.00 and $12.00. The most frequently reported rate was $4.00 (for 21 periodicals), the average rate was only slightly more.

Ninety of these periodicals reported a total paid circulation during the Survey Year of 90,647, or an average of 1,007 per periodical (the Princeton Alumni Weekly circulation figure of 24,000 was omitted from consideration). Eighty-nine of these publications distributed in addition a total of 10,477 copies gratis during this period, or an average of 118 per periodical. Another 13,532 people received 8 of these publications through association memberships or other special arrangements. Foreign circulation figures supplied by 73 publications disclosed that 12,178 of the total circulation previously reported, or an average of 168 per periodical in this group, were sent out of the country.

How were these 96 publications financed? Thirty-three were financed from press budgets. Twenty-seven were financed from separate university funds, often departmental budgets. In 11 cases, both press and university funds were used. Nine were financed by learned societies. Another 9 were supported by press and outside funds combined. Funds for 3 were furnished by the parent institution jointly with an outside organization and in another 4 cases, the press, the university, and an outside organization combined resources to foot the bill.

Operating expense and income figures were supplied for 82 periodicals. These data are consolidated in Table 17. The income figures do not include subsidies and in only 9 cases were publications able to break even during the Survey Year without subsidies. Subsidies totalling $129,000 were provided for these periodicals during this period from press, university, and outside sources. Even these subventions, it will be noticed, were not enough to bridge the gap between the costs of these publications and their operating revenue.

The chief reason cited was, of course, the high cost of manufacture. If this factor was a concern in the book activities of the presses studied, it was doubly so in regard to their periodical publishing, for it was not likely that many of these periodicals could ever be expected to break even, due to the

Table 17

PERIODICAL PUBLISHING BY AAUP MEMBERS: OPERATING FIGURES FOR 82 PERIODICALS

	Amount	Per cent
A. Operating Expenses		
1. Printing	$372,476	66.3
2. Editorial (inc. salaries)	75,731	13.5
3. Promotion	20,589	3.7
4. Mailing	17,095	3.0
5. Overhead (incl. other salaries)	70,318	12.5
6. Other	5,534	1.0
Total	$561,743	100%
B. Operating Income		
1. Subscriptions and Sales	$314,104	78.8
2. Advertising (net)	35,882	9.1
3. Other	48,290	12.1
Total	$398,276	100%
4. Unspecified	10,994	
Total	$409,270	

specialized nature of their contents. The aim usually was to hold down as far as possible the size of the subsidies necessary to make up the losses on these publications.

Given an opportunity to describe the problems besetting the publication of these periodicals at the time of the study, the sponsoring presses stressed repeatedly the factor of rising costs and its increasing threat to the future of their periodicals. Here are typical comments on this point:

> "This periodical loses money, though less than others we publish. The editorial committee is trying to obtain a University subsidy for it."

"The small subscription list cannot possibly support the journal. The Press, which has carried it in the past, probably cannot continue to do so. Therefore a subsidy, University or outside, will be necessary."

"Continuation of this periodical is in immediate jeopardy because of the large annual loss, only partly shown in the figures given...The editors have been told that they must reduce the amount of copy carried, by changing the format, and do without the services of the paid assistant editor. These steps, if taken, should save the periodical until possible sources of subsidy can be investigated"

"Since the annual loss (now borne by our printing plant) is too large, additional subsidy must be obtained or printing costs must be reduced. Temporarily we have cut size of each issue to 100 pages and we are seeking outside printing estimates."

"Greatly increased costs, not only of printing but of clerical, distribution and promotion work. Circulation of some, but not in proportion."

"The only solution seems to be fewer pages and an increased subscription price; the over-all subsidy of the Press could not stand the strain of caring for a deficit like the present year's; and had it not been for the surplus from previous years , the Press would have been called upon to make up this deficit."

"This journal, too, requires a disproportionate amount of the over-all subsidy of the Press. Though sponsored by the Blank Society, it is subscribed to by relatively few members. Our effort to lessen the annual deficit is at present taking the form of cutting down on the volume size and attempting to work out a plan with the Association for joint subscriptions."

"Rising costs, of course. We are increasing subscription rate and going out for more ads. The magazine will survive because the University intends that it shall; we feel the same about it."

"Rising costs of printing and production, with no increase in subscription rates or advertising, etc., has caused the annual deficit to reach an almost prohibitive figure. A Committee is now making a complete survey of all our Journals

in an effort to find a solution. The result will probably be a reduction in number of pages, an increase in subscription rates and the elimination of all expenses not absolutely necessary."

"A so-far futile effort to narrow the gap between expenditures and income; the endeavor to increase effectiveness of promotion to the point that it will pay its way at least."

This gloomy picture was mitigated by exactly one cheerful reply: "The only problem" said the director of one press, referring to a brand-new publication, "is that the magazine made a profit its first year and is likely to continue showing a favorable balance, thus making all other publications green with envy."

Other problems current at the time of the Survey were the difficulty of getting prompt schedules on scholarly periodicals from printers (university as well as commercial), recurrent changes in editorial continuity, absentee editorship, and divided control of publishing policies. The director who cited the last-named problem added, "We are attempting to persuade the University to set up a periodical publishing unit with centralized control of all policies concerning financing, manufacture, and distribution. This unit could be a part of the University Press; preferably from our point of view it would be a separate organization."

"When a press issues a periodical, the evidence tends to show that it does so reluctantly," said Robert F. Lane in his 1939 study. This reluctance was still evident in many press quarters during the present Survey and it could not be laid entirely to discouragement over the financial problems of these periodicals. Some of the other reasons for it may be found in the remarks made in 1947 Ernest Cadman Colwell, President of the University of Chicago:

"No dispassionate scholarly observer of mature years is likely to challenge the statement that we now have more learned journals than scholarship needs. Since my own institution confesses to more or less responsibility for twenty of these, I am not in a position to cast the first stone. I would not in any case throw a stone at a university press that starts a journal in a new field. Such initiative is a legitimate function of a university press. If a university press will not launch a journal of mathematical bio-physics, who will? But ten university presses publishing ten journals of mathematical bio-physics is wasteful and ridiculous excess...

"When it becomes mandatory for any professional school or major department in any university to publish a learned journal, social irresponsibility and academic humbug can go no further. I realize that any example is invidious; so I choose one well qualified in the arts of self-defense. There are forty-four journals published by law schools with university standing or connections in this country. There is not enough legal scholarship in the country to fill these journals. The same thing would be true in other fields. These are not learned journals, but house organs. Their number and pattern are a threat rather than a help to the interests of scholarship."

President Colwell proposed that the needs of scholarship might be better served by the substitution of "serial publication of learned articles when, as and if they are written by scholars." The writer could find no evidence that this suggestion had been adopted to any real extent but he did find among university press representatives responsible for some of these learned publications widespread dissatisfaction. So intense was the feeling in some quarters that the present report is bound to prove disappointing since it offers no ready solution to the problems of maintaining these tools of scholarship in the face of rising costs and declining enthusiasm. Obviously a step in the right direction will have been made if their advocates, whether scholars, learned societies, or university administrators, take under the most serious advisement the questions of duplication or unnecessary competition. Scholarly vanity, individual or institutional, cost dear in 1948.

The second major non-book publishing activity of the 35 members of the Association at the time of the Survey was printing. Earlier in this report it was indicated that eleven presses in the group had printing plants under their jurisdiction: California, Chicago, Illinois, Iowa State, Loyola, Princeton, Oklahoma, Stanford, Toronto, Washington, and Yale. Loyola, however, gave up its plant during the Survey Year and the Yale plant did not handle book manufacture for its press. It did print jackets, catalogues, mailing pieces, etc., for the press but it was primarily engaged in filling other university needs. The extent to which the book manufacturing needs of the other 9 presses were handled in their own plants has been treated earlier.

Without exception these 9 plants were found not only to be printers to their own publishing departments but to their universities. Official university publications--catalogues,

bulletins, announcements, examination forms, etc.--and a multitude of other university printing needs were handled by these plants. These tasks were performed not only in the interest of centralization and in some instances economy, but to achieve uniformity of design and format. Several plants handled periodicals as well. At least 2 plants (Iowa State and Stanford) printed undergraduate publications. At least 2 others (Princeton and Toronto) handled outside orders, usually because they had special facilities which attracted such requests. In short, the directors of these 9 presses were responsible not only for publishing but for printing activities.

The lists of printing plant equipment varied so greatly, in accordance with individual purposes and needs, that comparisons would be of little value, but only one press in the group (Stanford) could be described as well-equipped to handle reproduction by photo-offset.

Nine of the university presses maintaining plants submitted operating figures which showed that 8 achieved a surplus on their printing operations during the Survey Year. The total surplus reported by the 8 plants operating in the black was $106,395. The average was $13,299; the figures reported ranged between $358 and $42,786, with a median of $9,228.

The question of whether a press should have its own printing facilities is often raised in university circles, both where publishing organizations already exist and where they do not. Historically, it will be remembered, some presses which now have plants had their origins in these plants. The publishing program of the press could be said to have grown out of the printing activity at California, Illinois, Iowa State, Oklahoma, Princeton, Stanford, Toronto and Washington, while at Chicago and Yale, the printing function either appeared after or with the publishing function. In some cases first-class commercial book manufacturing facilities were not available near at hand, and it may be presumed that the establishment of a plant at the press resulted in increased publishing efficiency.

Other potential advantages cited during the Survey were: 1) a reduction in printing costs (not always realized); 2) a net income from printing operations which may be used to subsidize publishing activities (only sometimes realized); 3) availability of special facilities, e.g., rare or specialized type faces (often realized); and 4) control over scheduling (realized only by dint of extra effort).

It may also be noted, as a fact which may or may not be significant, that 6 of the 11 presses which have plants were

attached to state institutions. The answer to the question of whether a university press needs its own plant can be supplied only on the basis of individual circumstances and local conditions.

Discontinuance of the plant at Loyola, and the reason for it, has already been mentioned. At two long-established presses (Harvard and New Mexico), plants formerly under press jurisdiction had been placed under separate university management before the time of this study. Separation of printing and publishing operations at Harvard had taken place in 1941, a decision apparently based on the university's desire to put the plant on a "non-profit" or semi-cooperative basis, with dividends returnable to all divisions of the university employing its services during the fiscal year. Separation of the plant from the publishing division took place at New Mexico in 1947, by order of the university administration.

At 3 other presses—Kansas, Nebraska, and Syracuse, all younger organizations—university plants capable of handling book manufacturing already exist, as mentioned earlier, and any decision to merge the printing and publishing operations under single management will undoubtedly be made in terms of future growth and needs. Another press, older and more active, located in an area generally lacking in good commercial facilities, may decide to establish its own. In another case a comparatively new press may undertake to add to its assets a well-equipped plant located just off-campus.

Presses attached to state institutions had to bear in mind, it was apparent, the question of whether commercial printing interests in the state would favor the establishment or acquisition of university press plants. At other state universities, in fact, presses dependent on commercial plants were restricted by various rulings in their choice of facilities. No two situations were alike, but it could be seen that several presses were operating under compromise arrangements which enabled them to secure printing of a quality consistent with their publications.

Two members of the Association operated bookstores: Columbia and Toronto. In each case it was apparently felt that the needs of the university community for both textbooks and general books could be served by an outlet under university management and that responsibility for this service could be suitably placed in the hands of the university press management. Fresh impetus had been given this concept at

Toronto and the bookstore there was housed in a new building of modern design, centrally located, handsomely equipped, and admirably stocked with general trade as well as textbooks. The surplus reported by these two university press bookstores during the Survey Year was a useful form of subsidy for these presses.

University bookstores existed at many other institutions visited, usually as cooperatives, but not many of them carried adequate stocks of trade books. These needs were generally filled by commercial bookshops adjacent to the campus. In at least two instances, active consideration was being given to the possibility of improving the book-buying facilities of the university community by the addition of a well-stocked store under the management of the press. On the other hand, the fine bookstore at another university was separated from the press several years ago,

Among the other non-book publishing activities of the members of the Association, a prominent service rendered by a number of presses was the editing, designing, distribution, and, in some cases, printing of official university publications. Duplicating or facilities were offered by several presses. It was not possible to measure accurately the amount of time spent on such activities at these presses but it will be remembered that ten per cent of the full-time employees of the presses in the Association, were engaged in activities other than publishing or printing. To a marked degree, it was clear, a number of the presses studied were service bureaus for their institutions, as well as publishers and printers.

XIII. Keeping the Records

"No reckoning made, but sent to my account
With all my imperfections on my head:
O, horrible! O, horrible! Most horrible!"

--Ghost of Hamlet's Father

THIS SURVEY is said to have had its genesis in the suggestion that some members of The Association of American University Presses might benefit from a study of university press accounting practices. Not all existing practices, it was felt, were necessarily the most desirable ones. After a preliminary investigation, the writer could not disagree. Contemplating certain existing conditions, it was possible to become as melancholy as a Dane.

Mr. Bean treated the subject thus in his 1929 report: "It is not possible to ascertain definitely from actual records the total cost of issuing scholarly material. The accounting systems of scholarly publishing agencies are not...designed from the point of view of ascertaining costs. The records which are kept do not include all factors of cost. There is no uniformity of practice about the items which are included or in the methods of reporting them. Few of the organizations include physical inventories or profit and loss analyses." University presses were not the sole targets of these remarks, but they were included among the agencies to which Mr. Bean was referring.

For the present study, it was possible to collect accounting and financial data from some presses. It was also clear that the majority of the press managements concerned had become quite aware all was not well in Denmark.

The chief difficulty was not hard to recognize. It was the failure to distinguish between the kind of records needed by an educational institution and those necessary to proper management of the affairs of a university press. Whenever the latter is modelled on the lines of a publishing house it is vitally important to set up accounts based on publishing experience, rather than university accounting procedures. This fact was realized by most of the press managements concerned, but not always so clearly understood by the responsible university administrative officials.

Several years ago a well-known university press director sought to impress this point on the authorities of a large state university who had invited him to advise them on the establishment of a press. Early in his memorandum is found this statement: "Whether it is a division of the University or a separate corporation, it is essential — if the Press is to operate efficiently and make every dollar do a dollar's worth of work — that practices customary in business be followed. A well-managed university press is a business organization as well as an educational institution. It must be set up so that it can measure its operations by business as well as scholarly standards. This means, on the one hand, that the accounting procedures customary in business, rather than those of public institutions, must be used; and, on the other hand, that while the yardstick of profits and losses must be applied to those operations planned as self-supporting or profitable, at the same time scholarly standards must be vigorously maintained in all of the work done — in books planned to pay for themselves as well as in books on which losses are anticipated."

It was evident during the present Survey that the 8 incorporated presses enjoyed greater freedom to keep their own records in fashion described than the 27 presses which were departments or divisions of their parent institutions. At 14 of the latter, the university administration was found to be in direct charge of the accounts of the press, a situation existing at only one of the 8 incorporated presses. Of the 20 presses reporting that they maintained their own accounting departments (7 of which were incorporated), 5 qualified their replies to indicate close supervisory control by the university. Thus it could be said that only 15 members of the Association had satisfactorily independent record-keeping operations in the charge of press management.

Audits were, of course, common practice at the parent institutions and at 25 presses the auditors were those retained

by the university for its own periodic examinations, while in 4 other cases auditors from the state came in. At 4 presses (3 of which were incorporated), the auditors were retained by the presses. Two presses supplied no information on this point.

For the Survey, a firm of certified public accountants was retained to review the current accounting practices of the members of the Association, and to submit recommendations for the improvements of these practices. W. C. Heaton and Company of New York has for a number of years acted as auditors, advisers and consultants to some twenty or more commercial book publishers, as well as magazine publishers, book manufacturers, special book distributors and literary agents. Special studies have also been made by the Heaton company for a number of university presses. For the present study, they relied upon material collected by the Survey Office through questionnaires, upon additional data obtained by direct correspondence with some of the presses, and upon consultations with the Director of the Survey.

In transmitting their report to the Survey Office, the Heaton company indicated that the information available to them was far from complete and that in many cases the data submitted were not comparable, press to press. "In fact, in various reports there was no analogy in accounting principles and procedures, nor in the accounting terminology applied. This was probably due to the fact that there appeared to be no uniformity or standardization of accounting records and accounting procedures among these presses. Of the thirty-five university presses in the group under study, we were able to use data submitted by the following twenty-two presses: California, Chicago, Columbia, Cornell, Fordham, Georgia, Harvard, Iowa State, Louisiana, Loyola, Minnesota, New Mexico, North Carolina, Oklahoma, Pennsylvania, Princeton, Rutgers, South Carolina, Stanford, Syracuse, Toronto, and Yale."

"In addition to the twenty-two sets of replies to the Survey Office we obtained fourteen balance sheets, sixteen operating statements, and eighteen supplementary reports pertaining to plant cost and its disposition. The additional data were used to clarify, to some degree, the actual practices within these establishments."

The following is the text of the report which accompanied the letter of transmittal quoted above. As will be seen, the report leads off with a general recommendation and follows

with many of a specific nature. It is recognized that not all the presses concerned will be able to, or necessarily should, put each and every one of the recommendations into effect, but it is believed that almost every press in the group will find something of interest, if not of direct concern, in this Heaton report.

It was noted that some university presses (begins the Heaton report) do not maintain their own accounting department because the university itself has full control of the accounting activities. And some reported that they did not have title accounting records of any kind.

In order to provide adequate records and sufficient detail for successful management of a publishing enterprise, an independent accounting department with personnel familiar with publishing practices should prove advantageous. In this way, the university accounting department need not be burdened with numerous detail records, which should be kept for a publishing division, but are of little use in the university's general accounting system. Overall control can be maintained by the general accounting department through the retention of the actual disbursement of funds and the use of an inter-departmental control account with which the books of the publishing division should balance at all times.

In many industries a uniform chart of accounts has been adopted for use by its members. A uniform chart of accounts should be set up for university presses. The accounts should be arranged as closely as possible in the order in which they will appear in the statements. The accounts should be numbered in such a way that the small, medium and large size university press can adapt the accounts to their specific type of operations. If such a chart of accounts were set up for the university presses, there would be few questions in the future as to how certain unusual transactions should be handled and there would be no question as to the kind of items that should be included in the accounts used by each press.

It is possible that all presses would not agree upon the method of charging off plant costs or the method of applying subsidies. If a uniform method cannot be agreed upon by all, alternative methods can be shown in the chart of accounts. Two charts of accounts are submitted for consideration on the following pages. The chart on pages 196-197 deals with a publishing operation, the one on page 198 with a printing division.

CHART OF ACCOUNTS - BOOK PUBLISHING

ASSETS

Cash on Deposit - General Funds
" " " - Special Funds
" " " - With University
Petty Cash Fund

Notes Receivable
Accounts Receivable - Trade
Reserve for Doubtful Accounts

Accounts Receivable - Subsidies & Gifts
" " - Miscellaneous (Due from Special Funds, etc.)
Accrued Royalty Receivable

Inventory - Bound Books
" - Sheets
" - Paper and Cloth
" - Work in Process
Reserve for Inventory Valuation

Investments

Royalty Advances - Authors
Deposits and Special Advances

Type and Type Metal
Plant - Electrotype Plates, etc.
Reserve for Amortization of Plant

Furniture and Fixtures
Reserve for Depreciation - Furniture and Fixtures

Machinery and Equipment
Reserve for Depreciation - Machinery and Equipment

Automobiles
Reserve for Depreciation - Automobiles

Real Estate - Land
" " - Buildings
Reserve for Depreciation - Buildings

Library Books

Prepaid Expenses (Advertising, Commissions, Salaries, Insurance Interest, etc.

LIABILITIES

Notes Payable
Accounts Payable - Trade
" " - University
" " - Miscellaneous (Due Special Funds, etc.)
Royalties Payable
Subsidies Payable

Accrued Expenses (Commissions, Salaries, Wages, Interest, etc.)
Taxes Payable and Withheld

Unearned Subscription Income

Mortgages Payable
Bonds Payable

Reserve - Special Funds for Future Publications
" - Unallocated Funds & Gifts
" - Building Maintenance
" - Others

Capital Stock

Surplus

Profit and Loss

Interdepartmental Account

CHART OF ACCOUNTS - BOOK PUBLISHING

INCOME

Sales - Books
" - Other Publications

Returns and Allowances - Books
" " " - Other Publications

Royalty Income
Sales of Rights
Commissions
Subscription Income
Advertising Income
Miscellaneous Income, Net

EXPENSES

Purchases - Paper, Printing and Binding - Press Books
" - Books and Sheets - Others
" - Paper, Printing and Binding - Other Publications
Manufacturing Expense (Freight, Type Storage, Etc.)
Manufacturing Credits - Subsidies and Sundry
Inventory Adjustments
Review Copies - Credit Account

Royalties
Plant Expense

Editorial
- Salaries
- Manuscript Reading and Fees
- Travel and Entertainment
- Review Copies
- Miscellaneous (Copyright, Postage, Stationery, Etc.)

Selling and Advertising
- Salaries - Salesmen
- " - Advertising
- " - Clerical

Commissions - Salesmen
Periodical Advertising
Circulars and Catalogs
Review Copies
Exhibits
Travel and Entertainment (Includes Automobile)

Expenses (Continued)

Selling and Advertising (Cont'd)
- Membership Dues
- Postage
- Depreciation - Automobiles
- Miscellaneous (Dummies, Supplies, Etc.)

Shipping and Warehousing
- Salaries and Wages
- Rent
- Supplies
- Freight, Express and Cartage
- Postage
- Miscellaneous

General and Administrative
- Salaries
- Retirement Allowances
- Rent
- Stationery and Supplies
- Freight and Express
- Postage
- Heat, Water and Power
- Professional Services
- Repairs and Maintenance
- Depreciation (Furniture & Fixtures, Machinery & Equipment, Buildings)
- Insurance (Group, Fire, General)
- Taxes
- Telephone and Telegraph
- Travel and Entertainment
- Branch Office Expense
- Bad Debts (or Provision for Debt Losses)
- Miscellaneous (Books, Subscriptions, Etc.)

OTHER INCOME

Cash Discounts - Purchases
Interest Earned
Net Income from Funds and Gifts
Specific Subsidies - (Treatment Optional)
Overall Subsidies

OTHER CHARGES

Cash Discounts - Sales
Interest Expense

CHART OF ACCOUNTS - PRINTING

ASSETS

Cash on Deposit
Accounts Receivable - Trade
Reserve for Doubtful Accounts
Accounts Receivable - Others
Inventory - Materials and Supplies
- Work in Process
Type and Type Metal
Reserve for Depreciation - Type and Type Metal

Furniture and Fixtures
Reserve for Depreciation - Furniture and Fixtures

Machinery and Equipment
Reserve for Depreciation - Machinery and Equipment

Automobiles
Reserve for Depreciation - Automobiles

Prepaid Expenses (Advertising, Salaries, Insurance, etc.)

LIABILITIES

Notes Payable
Accounts Payable - Trade
Accrued Expenses (Salaries, Wages, Etc.)
Taxes Payable and Withheld

Reserve - Retirement Allowances
Reserve - Building Maintenance

Capital Stock

Surplus

Profit and Loss

Interdepartmental Account

INCOME

Sales - Departmental
" - Others

Cash Discount - Purchases
Miscellaneous Income (Scrap, etc.)

EXPENSES

Factory Expenses
Purchases - Paper
" - Ink
" - Binding Materials
" - Outside Work
" - Miscellaneous (Freight, etc.)
Wages
Light, Gas, Water and Power
Repairs and Maintenance
Supplies
Spoiled Work
Insurance (Compensation, Fire)
Rent
Depreciation (Type and Type Metal, Machinery and Equipment, Automobiles)
Taxes
General Factory Expenses

General and Administrative
Salaries
Retirement Allowances
Advertising
Professional Services
Delivery and Shipping
Stationery and Office Supplies
Telephone and Telegraph
Bad Debts (or Provision for Debt Losses)
Miscellaneous Expense

The charts are sufficiently flexible to provide for additions in the future of accounts to adequately record changes and new activities resulting from the development and expansion. Thus, any of the accounts may be further subdivided to meet the current demand.

A study of the charts should permit one to select with ease the appropriate accounts for a university press accounting system. In fact, if the accounting functions demand it, an account or accounts not shown in the charts may be included, provided they serve a useful purpose in developing a more complete and modern accounting system.

The real importance of adequate and correct accounting methods to the successful operation of the university press establishments should no longer be treated lightly.

Accounting records should be carefully designed to meet specific objectives in order that management may have the operating results as and when it desires the information. To accomplish such objectives there must be a well devised plan formulating the accounting records into what is commonly termed an accounting system.

When the accounting records tell the whole story of the operations, the management is then able to learn why and where the desired results have been obtained, or why they have not been obtained.

The interpretation of adequate accounting records is a problem which confronts management. It requires constant study and review on the part of management to keep abreast of the ever changing conditions and the presently keener competition confronting all types of business. University presses are no exceptions.

Inasmuch as some university presses carry on dual operations, that is, the production of bound books, as well as the production of other printed matter, usually made for use within the university, these costs should be properly segregated, at least in the operating statements.

The apportionment of costs may entail considerable work if accurate results are to be obtained. The question of how practicable and desirable it is to apportion these costs is entirely up to the judgment of management when deciding how much financial information is demanded.

Naturally, there are two classes of costs, namely, direct costs and indirect costs. The accounting records may be maintained in a manner which will disclose the direct costs

with ease. However, the apportionment of the indirect costs, such as general salaries, insurance, electricity, office maintenance and expenses, will cause additional work. The apportionment should be calculated each month after arriving at a reasonably equitable basis.

The segregation is necessary if it is desirable for management to know the results of its publishing and its printing operations. The segregation of these costs may produce enlightening figures for the attention of the management. In some cases the proper segregation of costs has clearly disclosed that a loss actually prevailed on specific jobs instead of a profit, and vice versa, a fact which never would have been brought to light without cost segregation.

In order to determine whether a department or a division is operating efficiently, it is necessary that all costs and expenses shall be charged thereto. Likewise, all revenue or earnings shall be properly credited. Possibly the accounts should be classified to record sales, cost of sales, and direct expenses applicable to the "books planned to pay for themselves," as well as the "books on which losses are planned."

There are times when certain operating accounts must be treated in a similar manner, so that the account will disclose the facts and reflect a correct balance at any date. For example, often the shipping account is not properly maintained. Various departments or divisions may be undercharged or overcharged, resulting in an erroneous balance in the shipping account, as well as distorting other accounts and the operating statements.

The basis for apportionments should be clearly defined, revised when necessary, and the actual follow-through of the work should be checked from time to time.

It is becoming a rather general practice for publishers to maintain an individual record covering each specific book which is expected to show a fair or sizeable volume of sales. This assembling of facts and figures is known in the industry as "title accounting."

The title accounting record or form is designed to determine at a specific date one sole figure; a close estimate of the amount by which the total income exceeds or fails to reach the total direct costs at that date.

The application of title accounting resolves itself into the accumulating of direct costs and the total revenue applicable to any specific book for a particular given period.

Direct costs normally consist of paper, printing, binding, plant cost, royalties applicable, if any, direct advertising and promotional items. It should be noted that editorial, shipping and other expenses generally classes as overhead, are not included. The exclusions should be in mind when an interpretation of the significance of the final figure is attempted. Only those who are familiar with the particular publication can safely draw conclusions from the information. Usually there are other facts not disclosed that must be given consideration, particularly future income possibilities from the title, the potential value of the author and like factors.

Overhead estimates are usually omitted for two reasons: 1) No satisfactory method of determining an amount has been discovered (a flat amount and a percentage calculation, both may be deceptive); 2) Experience has shown that wrong conclusions are likely to be drawn when an estimate for overhead is used, particularly when it results in a red figure.

Variation in the items of direct costs included in the calculation is quite in order, if inclusion of the additional items is deemed more informative.

In some instances the specific book may enjoy marginal income in addition to the regular income from sales. Marginal income generally consists of serial, movie, drama, permissions and reprint incomes. This type of income, unless it is a very minor item, should be taken into consideration when projecting the result of a specific book by the title accounting method.

The inventories of a university press in total represent one of its most important assets. Book publishing inventories generally include paper, cloth, sheets and bound books. The bound book inventory cost usually includes the aggregate of the paper, press work and binding costs. Work in process may be listed separately if not included in the former categories. The valuation of the inventory items is considered in subsequent paragraphs. It is important that the inventories be as realistic as possible under all conditions.

Inventories, as compiled at the close of an accounting period, constitute one of the basic factors in determining whether operations resulted in a profit or a loss. Certainly, if the inventories are not correctly compiled then the profit or loss figure is not realistic. The two most important factors in arriving at a fair and realistic value for inventories are the physical count, and the unit value. The unit value, when applied

to the physical count, should produce a sound inventory.

In the absence of actual unit cost value some other value should be applied. The most commonly used valuation for inventories cost or market, whichever is lower. Management should be in a position to place a bona-fide market value on its own merchandise at any date. Occasionally, outside independent appraisal is resorted to when unusual problems or unusual conditions prevail.

The management should decide upon a sound basis for the valuation of inventories and consistently apply that basis year after year. Any deviation from a sound consistent basis leads to a distortion of the annual "profit or loss" figures. Guess work has no place in the calculation of an inventory. It was regretful, in some cases, to see how little true interest was shown in the planning, supervising, and compiling of a year-end inventory. Only reliable, experienced and methodical employees should be assigned to inventory work.

The accounting records will not normally disclose the specific unit cost of a particular book; however, manufacturing cost records are used successfully for this purpose by many publishers.

A manufacturing cost record usually serves two purposes by providing a permanent record for (1) the accumulation of all manufacturing costs of the title, by editions, and (2) a sufficient amount of historical data regarding the physical make-up of the title to permit an exact duplication in all editions.

The record usually provides space for the accumulation of all plant costs, quantities ordered printed and/or bound, description and value of paper used, printing data and cost, binding data and unit binding cost, and a summary designed to show the total unit cost of sheets and bound books, before applying plant costs, and total unit cost of bound books including plant costs.

When management is aware that the market value is lower than cost value, the estimating of a market value should be made with care. The task should be assigned to one who knows the marketability of the book. Again guess work must play no part at this point.

Marketability involves two major factors: (1) what is the present net realizable price, (2) how soon can the sale be consummated. If either factor is doubtful, then good merchandising demands that the inventory be adjusted unless there is another reason for holding the books. Worthless or doubtful inventory values have no place in publishing accounting. If

written-off inventory commodities actually realize some value in the future, then the accounting records may treat it as a good asset when it actually takes the form of an account receivable, or cash.

It seems inadvisable to reduce the specific cost of a book by any subsidy that has been granted for it, if cost comparison is to be made with other book publishers, or if comparison is to be made against future editions when no subsidy may be involved.

The true value of comparison prevails only when figures, facts, and conditions are comparable. On any other basis the advantages of comparison might be distorted and unreliable. An exception might be made, wherein the list price of the book is actually reduced, due to the subsidy having been granted for that specific purpose. This type of subsidy requires special treatment.

Consideration should be given to the percentage of gross profit which is to be earned on (1) books without subsidy, and (2) books with subsidy where list price is reduced. The gross profit percentage should be approximately the same in both cases.

In order to relieve the accounting records from complications and to keep the accounting systems of the presses simple and on a comparable basis with commercial book publishing enterprises, it seems feasible to treat subsidies as a separate and distinct type of increment, rather than to complicate inventory values and manufacturing costs, or distort gross profit percentages.

Special accounting reports on the results of operations on specific books may be prepared to show the effect of the subsidies which involve a reduction in costs, or on the list price, if this is management's desire, or if it is requested by the subsidy donor.

Good accounting concepts demand that realistic values and actual quantities be used in inventory tabulations. The principle is well established in all accounting activities, and should be strictly adhered to in order not to violate accepted and approved accounting standards.

There may be a misconception of this principle in the minds of some, which has no real basic foundation, but may be the result of custom and tradition of long standing.

It would seem that where an inventory contains more bound books than can reasonably be expected to be sold through

normal channels, good accounting demands that the inventory value be as true and realistic as is possible under the circumstances. The component parts of the inventories should be submitted in a form understandable to all readers.

In case the management decides that the total number of books cannot be sold within a reasonable period of time, the inventory may be written down to a realistic figure. This is good accounting, and the valuation should normally be conservative. For example: Inventory contains 4,000 books at a cost of 60 cents each, having a cost value of $2,400. Management contends that 2,000 are marketable within a reasonable future period at the regular sale price, thus the realistic inventory value is established at $1,200. The inventory record should be reduced to show a count of 2,000, leaving the cost at 60 cents each. The 2,000 unsalable books should be scrapped and $1,200 be charged to inventory written down. This procedure permits complete control of the inventory quantity and price in the future.

Management may decide that all the books are salable at a reduced price. For example: Inventory contains 4,000 books at a cost of 60 cents each, thus having a cost value of $2,400. Management believes that the cost price should be reduced to 30 cents and in some cases that the sale price also should be reduced in the same proportion. On this basis the 4,000 books at 30 cents each should be carried in the inventory at $1,200. The written down inventory charge would be $1,200. The quantity in the inventory record remains at 4,000 books.

It is noted that the value of the inventory in each case is the same. The methods of handling the inventory details are different, each being based on facts.

The study disclosed numerous methods and practices of inventory write-downs used by the presses. It appears that there has been no meeting of minds among those responsible for establishing write-down methods and practices. There is such a wide variance in the practices of writing down inventories that it may be interesting to state briefly some of the questionable methods reported as being in use:

(1) "Inventories on titles held at full value for period of five years from last printing. All titles written off at end of five years."

(2) "Bound books, previous year at cost less 50%
Bound books, previous three years at cost less 75%
Bound books, previous five years at cost less 90%
Bound books over ten years old - $1.00, Sheets - $1.00"

(3) "Priced at cost for all books selling over 50 copies a year. Those selling less than 50 copies are priced according to quantity on hand and steadiness of sale. The range is from cost to nil."

(4) "Old books selling from 51 to 200 copies per year - 1/2 cost
Old books selling from 11 to 50 copies per year - .05 each
Old books selling 10 or less copies per year - .01 each."

(5) "Bound books which will not be sold within four years are left out of the inventory entirely."

Accurate inventory records should always show the true quantities, and the actual cost, unless reduced to market value by the management. Inventory values once reduced should not be written up at any future date.

An unrealistic inventory in any enterprise may be the forerunner of serious trouble. Certainly, it is misleading to management; it prevents the financial statements from showing real facts; it distorts operating figures and percentages; it violates all good accounting principles; and last but not least, severe criticism will eventually be aimed at somebody.

The presses should agree upon some reasonable and logical plan of writing down inventories, and standardize the plan as soon as possible. Otherwise, the figures of the presses will have very little value for comparison purposes within their own office year to year, or with other presses.

The word "plant" is spoken of in book publishing as a broad term consisting of all the expenditures necessary to actually produce the physical electrotype plates, offset negatives and plates, or the standing type, from whichever the printed matter is to be produced. Perhaps the more commonly used term is "plates," but it appeared that the word "plates" was restricted, at least at some university presses, to mean only the cost of the plates themselves.

The costs which should be allocated to plant are as follows: composition, illustrations, engravings, cuts and dies, art work, proofreading, special editing, extra page proofs, authors' alterations (excluding authors' portion), plates or standing type, copyright fees, translations from foreign languages, galley proofs, and any other direct costs incurred in the preparation of producing the first edition printing medium ready for the press.

In general, there are several methods of disposing of plant costs, including, (1) charge off all plant costs month by month, (2) accumulate the plant costs of each specific title and charge off the entire cost in the month of publication, (3) amortize the plant cost of each specific title, beginning with the month of publication, by means of a reasonable formula consistently applied, and (4) include the plant cost in the cost of the first printing.

The first two methods, (1) and (2), need no further explanation. However, in regard to (3), which pertains to a formula, the following solutions are in common use:

(A) First Printing Unit Cost
The total plant cost of the specific title is to be divided by the number of books produced in the first printing, arriving at a unit cost per book, to be written off on the basis of sales.

(B) Estimated Total Book Sales
The total number of copies estimated to be sold during the life of the book is to be divided into the total plant cost to determine the unit cost. The unit cost is then multiplied by the actual titles sold in any period or accounting year.

(C) Estimated Sales Life of the Title
Determine the probable sales life of the title in months or years, and charge off a proportionate amount of the total plant cost each months or accounting year. Sometimes a sliding scale of percentages is used.

There may be many other formulas which would suffice in arriving at reasonable plant amortization, but the above solutions seem to be simple, practicable, and free from serious complications. Whatever formula is adopted, it is most essential that it be applied consistently period after period. Inconsistencies violate the fundamentals of accounting and will

tend to show distorted results in the financial statements.

Some publishers leave a metal value of $10.00 per title for plates to remain upon their books until sold or actually scrapped, others clear the account in its entirety.

It is essential that an accurate plate inventory be kept, showing the location of all plates owned. In case plates are not in the possession of the press, they should be confirmed with the printer in writing at least once a year. No plates should ever be scrapped or melted without first obtaining an "Author's Release" in writing for the records of the press.

University press subsidies were divided for purposes of this Survey into two major classes, namely, (A) Specific Subsidies, and (B) Overall Subsidies, as follows: Own University, Other Universities, Foundations, Other Outside Organizations, Authors, Government, Non-Academic, and Other Subsidies. While there might be further divisions made, if the case warrants it, the above will give a reasonable basis of classification, and create figures for comparison within each own press year to year, as well as possible comparison with other presses.

In some instances subsidies are received by the university presses for a specific purpose or purposes, which carry with them certain provisions that must be closely adhered to by the management. And some require that accounting must be furnished the donor annually.

Some presses create a Special Subsidy Fund upon receipt of the cash. The Fund should be maintained in a separate bank account, thus not intermingled with general cash. The Fund is decreased as properly approved disbursements are made.

The operating statements of the university presses should clearly show the receipt and disbursement of subsidies in a manner which gives full disclosure rather than concealing, or creating a question in the reader's mind.

Subsidies of a temporary nature, that is, where a subsidy is granted on a book until it becomes self-sustaining and returns a profit, call for special title accounting on each book which will clearly disclose costs, sales and profit. The temporary subsidy may then be repaid to the donor on the agreed basis.

It seems good cost accounting technique and good accounting procedure to disclose as nearly as possible the cost of a specific book. The cost should be carefully assembled, just as if no subsidy were to apply against it. Determine the unit

cost per book in the usual manner. Later apply the subsidy as a reduction to the total cost, and arrive at the unit cost per book after giving effect to the subsidy. An adequate record should be maintained of both costs, that is, cost before applying subsidy, and cost after applying subsidy, as the press may require this information for future uses.

In various cases the first edition may have the benefit of the subsidy, but future editions may not. Under such a condition care should be used in establishing the retail price of the first edition, otherwise the retail price of the second edition, based on actual cost, might be prohibitive.

Regardless of the size of the subsidies, or the purposes of the subsidies, they must be carefully and properly recorded in the books of account. The most complete accounting system cannot function properly, and serve a useful purpose if the application of the subsidies is not clearly shown.

Some publishers have favored the plan of applying a specific book subsidy directly against the specific plant cost, rather than using the subsidy to reduce the manufacturing cost of the book. The reducing of the plant cost by the book subsidy simplifies accounting work and sets up a clear record for the present as well as a good record for future use.

The actual cost figures of a book to be used as an inventory item should be free and clear of plant charges unless plant costs are included as part of the cost of the first printing. The disposition of plant cost is explained elsewhere in this report.

Plant cost is a normal charge to cost of sales, but usually not to production cost. It should be shown in the Income Statement as a separate cost item, captioned "plant expense" or "amortization." Perhaps the following example will be helpful regarding presentation in the income statement:

Sales		$9,000.
Cost of Sales		
Production of cost		
Inventory - Beginning	$1,000.	
Paper	500.	
Printing	800.	
Binding	1,500.	
Manufacturing expense	100.	
	$3,900.	
Inventory - End	900.	
	$3,000.	
Cost of review copies	200.	
Production cost	$2,800.	
Royalties	900.	
Plant expense or amortization	1,000.	
Total cost of sales		4,700.
Gross profit		$4,300.

It would seem that for several years a real need has been felt for standardizing accounts of university presses in order that those which choose to give effect to uniform accounting might compare, at least on a percentage basis, the financial results of the operations of their respective presses.

The exchange of operating data or operating percentages, without standardization or uniformity of the classification and content of accounts, for comparison purposes would be of little or no real value.

Should enough university presses desire to adopt the plan for standardized accounts, it would place them in a position where they would be able to exchange reliable financial data, and know that they are speaking the same language. Standardization would obviously produce benefits of great value in future years and there is submitted a proposed income statement (see p. 210) which should prove useful toward adopting a standard income statement in whole or in part.

The standardized accounting should be kept as simple as possible so that all university presses, large and small, may be put to no serious inconvenience and may obtain the real benefits of its use.

Uniformity in accounting procedures should always provide the valuable features of good modern accounting generally. Through its use the members of the Association could all make use of the same accounting terminology at all times. Thus, when they use statistical figures or percentages relating to operations of their presses, they will use them on a comparable basis, and avoid any and all misunderstanding.

The above recommendations from the Heaton company reflect a concern with these major problems of university press accounting: charts of accounts, comparable data, segregation of costs, title accounting, inventories, inventory write-downs, plant cost, and treatment of subsidies.

It was learned during the Survey that 6 members of the Association kept no title accounting whatever, while 5 others maintained entirely inadequate records on this score; 2 other presses supplied no information. Among the other 23 presses it is doubtful whether more than a dozen lived up in whole or in part to the accounting standards prescribed by the Heaton company in this respect.

An examination of the formulae in use in regard to inventory pricing indicated that only 9 presses followed procedures which would measure up to the foregoing recommendations.

PROPOSED INCOME STATEMENT

Sales - Books	XX	
Returns and allowances	XX	
Net sales - Books		XX
Sales - Other Publications	XX	
Returns and allowances	XX	
Net Sales - Other publications		XX
Total net sales		XX
Cost of Sales		
Production cost		
Inventory - Beginning	XX	
Purchases - Paper, Printing and binding - Press Books	XX	
" - " " " " - Other publications	XX	
" - Books and Sheets - Others	XX	
Manufacturing expense	XX	
	XX	
Inventory - End	XX	
	XX	
Cost of review copies - Deduct	XX	
Production cost	XX	
Royalties	XX	
Plant expense (Net of subsidy - Treatment optional)	XX	
Total cost of sales		XX
Gross profit on sales		XX
Other Operating Income		
Royalty income	XX	
Sales or rights	XX	
Commissions	XX	
Subscription income	XX	
Advertising income	XX	
Miscellaneous income	XX	
Total		XX
Total Operating income		XX
Operating Expenses		
Editorial (Treatment optional)	XX	
Selling and advertising	XX	
Shipping and warehousing	XX	
General and administrative	XX	
Total operating expenses		XX
Operating profit		XX
Other Income		
Cash discounts - Purchases	XX	
Interest earned	XX	
Net income from funds and gifts	XX	
Specific subsidies (Treatment optional)	XX	
Overall subsidies	XX	
Total		XX
		XX
Other Charges		
Cash discounts - Sales	XX	
Interest	XX	
Total		XX
Net income		XX

Among the other 26 presses, 9 either indicated that formula was in use or gave no information.

Each member of the Association was asked to indicate the approximate number of books on hand at the end of its latest fiscal year. Twenty-eight presses were able to supply figures on their bound stock. The total reported was 4,377,476 copies and the average per press reporting was 156,338. The range was, of course, wide; from a stock of 750 books reported by one of the youngest presses to 1,300,700 reported by one of the oldest. Sheet stock figures were furnished by twenty presses, which reported a total of 1,021,675 sets of unbound sheets; the average per press reporting was 51,084, ranging between 400 and 198,243.

The question of subsidies will be discussed in a later chapter, but it can be remarked here, with some feeling, that the diversity of practices in use made it extremely difficult to ferret out figures or assemble any clear picture of methods.

It is fully recognized that while accounting reforms among a number of university presses are obviously desirable, this is easier said than done. Changes in some cases will be effected only slowly and painfully. In other cases it was apparent that a number of presses in the process of growth or transition were not yet ready to adopt new practices or reform the old ones. Yet ways and means must be found, not only to bring about reforms at individual presses but to establish a common ground of practice among the greatest possible number of presses.

XIV. Operating Figures from Twenty-Two Presses

"Drive thy business or it will drive thee"--Benjamin Franklin

THE SAME twenty-two presses which supplied satisfactory information about their accounting practices were able to supply also pertinent operating figures for the Survey Year. To secure these data in comparable form, an operating statement form was devised which seemed to suit the greater number of cases, and all members of the Association were asked to report their figures in this form with its subsidiary breakdowns and calculations.

The 22 presses whose data proved to be useful were again: California, Chicago, Columbia, Cornell, Fordham, Georgia, Harvard, Iowa State, Louisiana, Loyola, Minnesota, New Mexico, North Carolina, Oklahoma, Pennsylvania, Princeton, Rutgers, South Carolina, Stanford, Syracuse, Toronto and Yale. The total net book sales of these 22 presses during the Survey Year amounted to $4,035,967, or about 97 per cent of the total reported by all 35 members of the Association.

The task of compiling and analyzing the figures submitted by these presses in response to the operating statement questionnaire was handled by the firm of Stanley B. Hunt Associates, which has specialized in the collection of industry statistics and is also the statistical agent of the American Textbook Publishers Institute. In transmitting the results to the Survey Office, Mr. Hunt commented:

"Not by way of complaint, but rather by way of stating a fact, I must tell you that in my entire twenty years of experience in compiling industry figures, I have never come across such a confusing picture as that of these university presses.

In the course of this compilation, we discovered as many methods of accounting as there were presses.

"The saving grace of the entire job was the marvelous response of the individual presses to our editing questions. Their courtesy and interest, as well as the trouble to which they went, surely indicates a high degree of interest in your project. I hope that the compiled results of this section of the report will prove worthwhile to the members.

"I cannot resist citing three typical comments that came in letters from different presses. One press official wrote me that 'This information, which has been obtained from the official records in our University's Accounting Department, is as complete as possible and, I believe, supplies the answers to your queries. You must have the magic touch—they supplied records for you that they never would have supplied for us!'

"Still another press officer wrote that he was 'relieved to find that I got [this] crossword puzzle to come out as well as I did--unless, in going over it some more, you find some other discrepancies.'

"And finally, one press official wrote 'If you have any more questions, please do not hesitate to ask us. We shall do our best to answer promptly and as accurately as possible, although our accounting is a wonder and a mystery, even to us.'"

The following is the text of the report which accompanied the letter of transmittal quoted above.

The chief results of our compilations (says the Hunt report) are shown in Table 18. The grand totals in this composite operating statement from 22 presses are carried in the center column. The subsidiary columns to the left of the center column divide the 22 reporting presses into those whose net book sales during the Survey Year were $100,000 or more and those whose sales were less than $100,000. The subsidiary columns to the right of the grand totals divide the group according to those showing a deficit or surplus in Item F; that is, before the income from non-book operations and overall subsidies were added.

Table 19, 20, 21, and 22 then show the figures from these 22 presses subdivided into four groups, again according to whether their net book sales were above or below $100,000 during this period and according to whether they showed a surplus or deficit on their book operations. Because the range of percentages was great in several items, each of these

TABLE 18

COMPOSITE OPERATING STATEMENT OF 22 PRESSES

	12 Presses With Net Sales of $100,000 or More (Groups I & II)		10 Presses With Net Sales of Less Than $100,000 (Groups III & IV)		Grand Total 22 Presses		14 Presses Showing a Deficit (Groups I & III)		8 Presses Showing a Surplus (Groups II & IV)	
	%	Dollars	%	Dollars	%	Dollars	%	Dollars	%	Dollars
A. NET SALES	100	3,581,075	100	454,892	100	4,035,967	100	2,903,506	100	1,132,461
1. Manufacturing Cost	47.8	1,712,067	53.2	241,853	48.4	1,953,920	50.0	1,450,490	44.5	503,430
2. Authors' Royalties	13.0	467,251	12.7	57,988	13.0	525,239	13.3	386,546	12.2	138,693
B. COST OF BOOKS SOLD	60.8	2,179,318	65.9	299,841	61.4	2,479,159	63.3	1,837,036	56.7	642,123
C. GROSS MARGIN ON SALES	39.2	1,401,757	34.1	155,051	38.6	1,556,808	36.7	1,066,470	43.3	490,338
3. Secondary Income	1.2	44,131	2.6	11,832	1.4	55,963	1.8	50,472	0.5	5,491
4. Miscellaneous Income	4.4	156,191	1.6	7,499	4.0	163,690	5.2	150,917	1.1	12,773
5. Specific Subsidies	3.1	111,739	12.5	56,653	4.2	168,392	5.0	146,084	2.0	22,308
D. TOTAL OPERATING INCOME	47.9	1,713,816	50.8	231,035	48.2	1,944,853	48.7	1,413,943	46.9	530,910
6. Editorial Expense	5.5	196,470	11.8	53,659	6.2	250,129	7.3	212,493	3.3	37,636
7. Selling Expense	20.5	735,084	25.6	116,460	21.1	851,544	23.6	683,487	14.8	168,057
8. Shipping Expense	4.6	163,783	5.6	25,508	4.7	189,291	5.2	151,892	3.3	37,399
9. General & Administrative Expense	19.0	680,526	23.4	106,482	19.5	787,008	20.6	596,282	16.7	188,726
E. TOTAL OPERATING EXPENSE	49.6	1,775,863	66.4	302,109	51.5	2,077,972	56.7	1,646,154	38.1	431,818
F. NET SURPLUS OR DEFICIT FROM BOOK OPERATIONS	-1.7	-62,045	-15.6	-71,074	3.3	133,119	-8.0	-232,211	8.8	99,092
G. NET SURPLUS OR DEFICIT FROM NON-BOOK OPERATIONS	0.8	29,914	17.2	78,608	2.7	108,522	3.3	96,212	1.1	12,310
H. OVERALL SUBSIDIES	4.0	144,186	26.7	121,354	6.6	265,540	8.9	259,040	0.5	6,500
I. NET SURPLUS OR DEFICIT FROM TOTAL OPERATIONS	3.1	112,055	28.3	128,888	6.0	240,943	4.2	123,041	10.4	117,902

TABLE 19

GROUP I - 8 PRESSES WITH SURVEY YEAR NET BOOK SALES OF $100,000 OR MORE OPERATING AT A DEFICIT

									TOTAL - 8 PRESSES	
									%	Dollars
A. NET SALES	100	100	100	100	100	100	100	100	100	2,587,397
1. Manufacturing Cost	56.7	66.5	46.3	40.1	42.3	46.8	44.6	53.6	48.4	1,253,010
2. Authors' Royalties	16.4	10.0	8.1	11.2	10.2	15.9	17.0	11.6	13.2	341,764
B. COST OF BOOKS SOLD	73.1	76.5	54.4	51.3	52.5	62.7	61.6	65.2	61.6	1,594,774
C. GROSS MARGIN ON SALES	26.9	23.5	45.6	48.7	47.5	37.3	38.4	34.8	38.4	992,623
3. Secondary Income	6.4	0.3	1.0	4.0	0.5	1.7	1.0	1.3	1.7	44,061
4. Miscellaneous Income	0	3.4	4.3	8.2	25.9	0.5	0	5.3	5.6	145,418
5. Specific Subsidies	4.8	9.3	13.6	1.5	3.7	2.1	0	4.8	3.7	96,378
D. TOTAL OPERATING INCOME	38.1	36.5	64.5	62.4	77.6	41.6	39.4	46.2	49.4	1,278,480
6. Editorial Expense	4.2	7.6	10.9	6.9	5.8	7.3	4.3	5.7	6.4	167,094
7. Selling Expense	40.0	22.4	28.6	24.0	33.5	15.1	20.5	23.6	22.9	592,003
8. Shipping Expense	2.8	7.1	4.3	7.2	5.9	5.2	2.8	5.1	5.2	133,364
9. General & Administrative Expense	30.6	24.4	25.0	28.3	34.6	15.6	13.4	12.5	20.0	517,639
E. TOTAL OPERATING EXPENSE	77.6	61.5	68.8	66.4	79.8	43.2	41.0	46.9	54.5	1,410,100
F. NET SURPLUS OR DEFICIT FROM BOOK OPERATIONS	-39.5	-25.0	-4.3	-4.0	-2.2	-1.6	-1.6	-0.7	-5.1	-131,620
G. NET SURPLUS OR DEFICIT FROM NON-BOOK OPERATIONS	1.6	-0.2	-2.8	0.1	2.3	-0.5	3.9	1.0	0.7	18,404
H. OVERALL SUBSIDIES	37.9	25.2	21.1	4.3	0	2.1	0	0	5.4	140,686
I. NET SURPLUS OR DEFICIT FROM TOTAL OPERATIONS	0	0	14.0	0.4	0.1	0	2.3	0.3	1.0	27,470

TABLE 20

GROUP II - 4 PRESSES WITH SURVEY YEAR NET BOOK SALES OF $100,000 OR MORE OPERATING AT A SURPLUS

					TOTAL -4 PRESSES	
					%	Dollars
A. NET SALES	100	100	100	100	100	993,678
1. Manufacturing Cost	55.3	37.5	45.3	37.6	46.2	459,057
2. Authors' Royalties	8.5	15.3	14.7	17.0	12.6	125,487
B. COST OF BOOKS SOLD	63.8	52.8	60.0	54.6	58.8	584,544
C. GROSS MARGIN ON SALES	36.2	47.2	40.0	45.4	41.2	409,134
3. Secondary Income	0	0	0	0	-	70
4. Miscellaneous Income	0.2	0	5.2	0.2	1.1	10,773
5. Specific Subsidies	0	1.9	4.3	1.6	1.5	15,361
D. TOTAL OPERATING INCOME	36.4	49.1	49.5	47.2	43.8	435,338
6. Editorial Expense	4.1	3.0	0.2	3.5	2.9	29,376
7. Selling Expense	11.8	21.4	11.8	9.3	14.4	143,081
8. Shipping Expense	4.6	0.9	1.9	5.3	3.1	30,419
9. General & Administrative Expense	14.0	15.7	24.3	13.6	16.4	162,887
E. TOTAL OPERATING EXPENSE	34.5	41.0	38.2	31.7	36.8	365,763
F. NET SURPLUS OR DEFICIT FROM BOOK OPERATIONS	1.9	8.1	11.3	15.5	7.0	69,575
G. NET SURPLUS OR DEFICIT FROM NON-BOOK OPERATIONS	-1.3	3.0	0	7.3	1.1	11,510
H. OVERALL SUBSIDIES	0	0	1.8	0	0.4	3,500
I. NET SURPLUS OR DEFICIT FROM TOTAL OPERATIONS	0.6	11.1	13.1	22.8	8.5	84,585

TABLE 21

GROUP III - 6 PRESSES WITH SURVEY YEAR NET BOOK SALES OF LESS THAN $100,000 OPERATING AT A DEFICIT

							TOTAL - 6 PRESSES	
							%	Dollars
A. NET SALES	100	100	100	100	100	100	100	316,109
1. Manufacturing Cost	88.1	58.0	39.9	68.0	74.7	66.4	62.5	197,480
2. Authors' Royalties	29.1	12.2	15.7	19.0	7.6	5.1	14.1	44,782
B. COST OF BOOKS SOLD	117.2	70.2	55.6	87.0	82.3	71.5	76.6	242,262
C. GROSS MARGIN ON SALES	-17.2	29.8	44.4	13.0	17.7	28.5	23.4	73,847
3. Secondary Income	1.5	1.2	0.9	6.6	0	0	2.0	6,411
4. Miscellaneous Income	0	1.4	6.8	0	0	0	1.7	5,499
5. Specific Subsidies	39.8	3.9	0	42.4	17.3	0.8	15.7	49,706
D. TOTAL OPERATING INCOME	24.1	36.3	52.1	62.0	35.0	29.3	42.8	135,463
6. Editorial Expense	22.2	11.2	17.5	11.5	22.9	9.9	14.4	45,399
7. Selling Expense	49.0	26.4	34.7	38.4	16.6	11.8	28.9	91,484
8. Shipping Expense	7.6	7.2	8.5	6.9	3.5	1.9	5.9	18,528
9. General & Administrative Expense	38.0	39.7	23.4	36.0	14.5	10.0	25.5	80,643
E. TOTAL OPERATING EXPENSE	116.8	84.5	84.1	92.8	57.5	33.6	74.7	236,054
F. NET SURPLUS OR DEFICIT FROM BOOK OPERATIONS	-92.7	-48.2	-32.0	-30.8	-22.5	-4.3	-31.9	-100,591
G. NET SURPLUS OR DEFICIT FROM NON-BOOK OPERATIONS	0	1.0	14.1	6.9	0	76.8	24.6	77,808
H. OVERALL SUBSIDIES	92.7	47.2	58.6	27.2	43.4	0	37.5	118,354
I. NET SURPLUS OR DEFICIT FROM TOTAL OPERATIONS	0	0	40.7	3.3	20.9	72.5	30.2	95,571

TABLE 22

GROUP IV - 4 PRESSES WITH SURVEY YEAR NET BOOK SALES OF LESS THAN $100,000 OPERATING AT A SURPLUS

					TOTAL-4 PRESSES	
					%	Dollars
A. NET SALES	100	100	100	100	100	138,783
1. Manufacturing Cost	38.7	30.7	31.7	30.5	32.0	44,373
2. Authors' Royalties	13.6	4.2	10.8	14.0	9.5	13,206
B. COST OF BOOKS SOLD	52.3	34.9	42.5	44.5	41.5	57,579
C. GROSS MARGIN ON SALES	47.7	65.1	57.5	55.5	58.5	81,204
3. Secondary Income	0	0	17.3	0	3.9	5,421
4. Miscellaneous Income	0	3.8	0	0	1.4	2,000
5. Specific Subsidies	0	0	12.7	8.3	5.0	6,947
D. TOTAL OPERATING INCOME	47.7	68.9	87.5	63.8	68.8	95,572
6. Editorial Expense	12.6	3.0	10.6	2.8	5.9	8,260
7. Selling Expense	6.7	24.0	28.7	5.7	18.1	24,976
8. Shipping Expense	3.7	5.0	8.0	3.3	5.0	6,980
9. General & Administrative Expense	11.7	19.3	19.6	20.2	18.6	25,839
E. TOTAL OPERATING EXPENSE	34.7	51.3	66.9	32.0	47.6	66,055
F. NET SURPLUS OR DEFICIT FROM BOOK OPERATIONS	13.0	17.6	20.6	31.8	21.2	29,517
G. NET SURPLUS OR DEFICIT FROM NON-BOOK OPERATIONS	0	0	0	2.2	0.6	800
H. OVERALL SUBSIDIES	0	0	0	8.3	2.2	3,000
I. NET SURPLUS OR DEFICIT FROM TOTAL OPERATIONS	13.0	17.6	20.6	42.3	24.0	33,317

tables shows the individual percentages for each press in that particular group without, of course, identifying the individual press.

The general observation can be made that the presses operating with a deficit (Groups I and III) almost always have consistently higher costs in all categories than do the presses operating with a surplus (Groups II and IV). This is especially notable in Manufacturing Cost, of course, where the averages of Group I at 48.4 per cent and Group III at 62.5 per cent are much higher than the Manufacturing Cost of presses showing a deficit (Group II at 46.2 per cent and Group IV at 32.0 per cent). Similarly, the Group I Operating Expenses of 54.5 per cent and Group III at 74.7 per cent are notably higher than the Group II percentage of 36.8 per cent and Group IV at 47.6 per cent.

Beyond these general comments, we believe that additional interpretations or deductions from these data should be made by the reader.

Manufacturing Cost in Table 18 was calculated by each press in accordance with the process shown in Table 23, where a compilation of the Manufacturing Cost Calculations of all 22 presses is shown. The total Survey Year Manufacturing Cost of the 22 presses amounted to $1,953,920 or 48.4 per cent of Net Sales that year. On the other hand, the Survey Year Composition and Plate Cost Charged Against Sales plus Purchases of Paper, Presswork and Binding amounted to $2,890,417 or 48 per cent more than the Manufacturing Cost itself.

Except for the Cost of Review and Sample Copies, the difference between these Purchases and the Manufacturing Cost went into Inventory. Thus the Inventory Held increased from $1,711,019 at the beginning of the Survey Year to $2,569,879 at the end of the year, an increase of 50 per cent.

Parenthetically, it should be noted that not all 22 presses were able to provide separate figures for Items 2 and 3. Thirteen presses, whose combined charges or purchases of these items constituted 81 per cent of the total purchases of the 22 presses, were able to split the two-item total. The known total of Items 2 and 3 for the other 9 presses was then divided between Items 2 and 3 in the same proportion as the 13 presses reported it. The data shown in the table for Items 2 and 3 thus are the sum of these known and calculated data. Incidentally, we learned that of the 22 reporting presses, 5 amortized their Plant Cost against current sales; there may

TABLE 23

MANUFACTURING COST CALCULATION FOR 22 PRESSES

		Dollars	% of Net Sales
1.	Previous Year-End Inventory	1,711,019	42.4
2.	Survey Year Composition & Plate Cost Charged Against Sales	709,293	17.6
3.	Year Purchases of Paper, Presswork & Binding	2,181,124	54.0
3a.	Sub-Total Purchases	2,890,417	71.6
4.	Total Available (1 + 3a)	4,601,436	114.0
5.	Survey Year-End Inventory	2,569,879	63.7
6.	Net Purchases (4 - 5)	2,031,557	50.3
7.	Cost of Review & Sample Copies	77,637	1.9
8.	Total Manufacturing Cost (6 - 7)	1,953,920	48.4

TABLE 24

SECONDARY INCOME BREAKDOWN

	# of Presses	Dollars	Percent of - Net Sales	Percent of - Second. Income
1. Rights: British Empire	6	6,856	0.2	12.2
2. Rights: foreign (translations)	9	5,947	0.1	10.6
3. Reprint & digest rights	6	4,025	0.1	7.2
4. Other rights (film, drama, radio, etc.)	1	400	-	0.7
5. Permissions fees received	11	4,123	0.1	7.4
6. Royalties on special editions: book clubs	4	6,980	0.2	12.5
7. Royalties on special editions: other	7	27,632	0.7	49.4
8. Total Secondary Income	15	55,963	1.4	100%

TABLE 25

MISCELLANEOUS INCOME BREAKDOWN

	# of Presses	Dollars	Percent of - Net Sales	Percent of - Miscel. Income
1. Commissions	4	63,013	1.6	38.5
2. Interest & Discounts	6	34,804	0.9	21.3
3. Other	11	65,873	1.6	40.2
4. Total Miscellaneous Income	13	163,690	4.1	100%

be additional presses that so amortized these costs, but this fact was not specifically brought to our attention.

Item 7 was estimated and included for 4 presses whose Manufacturing Cost was only 6 per cent of the total Manufacturing Cost. One press reported this item as somewhat greater than reported for Item 11 of Table 27 (Selling Expense) the difference being "Authors' Frees—Authors' Copies, Copyrights, etc.,"; this small difference was transferred by us to Item 3 of Table 23 so as to preserve the Total Manufacturing Cost reported by that press.

Several publishers reported that they usually credited their Manufacturing Cost with Subsidy, i.e., they charge to inventory only the amount paid out by the press. Thus, if a book cost $7,000 and carried a $5,000 subsidy, only $2,000 would be entered as inventory. In all such cases that came to our attention, the subsidy amounts were obtained and entered in Table 26 (Specific Subsidies) and Manufacturing Cost was increased by an equal amount.

Each press was asked also to provide breakdowns of several other items shown in Table 18: Secondary Income, Miscellaneous Income, Specific Subsidies, Selling Expense, Net Surplus or Deficit from Non-Book Operations, and Overall Subsidies.

These breakdowns are shown in successive tables, beginning with Table 24 which shows Secondary Income. Secondary Income of $55,963 was reported by 15 of the 22 presses during 1948. Nearly half of this Secondary Income came from Royalties on Special Editions, Other Than Book Clubs, which figure of $27,632 was reported by 7 presses. It should be noted that one press stated that Item 7 "includes royalties on titles transferred from or sponsored by us and published elsewhere in the United States."

As shown in Table 25, Miscellaneous Income in the amount of $163,690 was reported by 13 presses in the Survey Year. The following comments on this table should be read carefully in connection with the significance of the figures presented. In regard to Item 1, of the 2 presses handling a sizable commission business, one press "shows" this business only as Commissions in this table, i.e., the total dollar sales of the books sold on a commission basis are not in the Net Sales of this press. On the other hand, the second press includes its sales of commission books in Net Sales, together with the cost of such sales in the proper cost categories. Among the named

items included in Other Miscellaneous Income (Item 3) were: remainder stock sold, miscellaneous services sold, etc.; service charges on books sold for consignors; editorial services, janitor service and miscellaneous; underwrote publication of book (not in press account) and show only profit here; profit on handling of printing jobs on books published on commission, sales of books previously charged off but not disposed of, and insurance recovery on non-inventoried books destroyed by fire; and sale of paper and cloth (very small).

Specific Subsidies, which are shown in Table 26, were defined as grants or subsidies received in consideration of the publication of specific titles or series, as opposed to overall subsidies or grants received as contributions towards the entire programs of these presses. Specific Subsidies in the net amount of $168,392 were received by 17 of the 22 presses during the Survey Year; the other 5 presses reported no Specific Subsidies. Approximately one-half of these Specific Subsidies came from the press' own university, while the next most important source of subsidies was authors.

There were 149 titles carrying Specific Subsidies and the average amount received per title was $1,180. The highest average Specific Subsidy received was from Others (Item 8) in the amount of $1,620 per title, followed closely by the press' own university subsidy average of $1,570 per title. The lowest average subsidy was received from authors in the amount of $750.

Several presses reported that they consider such subsidies as reducing manufacturing cost. But as indicated above, in all such cases that came to our attention, the proper total subsidies were entered in this section and manufacturing cost was equally increased.

As one press officer put it, "The return of subsidy comes through royalty, if earned by sales, but is not paid if the book does not sell. The same dollar that is listed as royalty payment on a specific book is repaying a subsidy also, thus serving a dual role." And another press officer added this thought, "Many presses showing royalties running in the neighborhood of 20 per cent are probably including in this figure royalties of the type which are, in effect, repayments of subsidy."

One press officer stated that, in his opinion, "subsidized books are normally considered the property of the press. Repayments of subsidies customarily take the form of royalties, the latter at abnormally high rates." But he goes on to say that "it has been traditional at our press, on the other hand,

TABLE 26

BREAKDOWN OF SPECIFIC SUBSIDIES

		# of Presses	# of Titles	Dollars	Av./ Title	Percent of – Net Sales	Percent of – Spec. Sub.
1.	Own university	12	52	81,954	1,570	2.0	48.8
2.	Other universities	7	10	12,675	1,270	0.3	7.5
3.	Foundations	6	10	12,978	1,300	0.3	7.7
4.	Other outside organizations	12	18	16,915	940	0.4	10.0
5.	Authors	10	50	37,434	750	0.9	22.2
6.	Government	0	0	0	-	0	0
7.	Non-academic	1	1	1,200	1,200	-	0.7
8.	Other	5	8	12,997	1,620	0.3	7.7
9a.	Total Specific Subsidies	17	149	176,153	1,180	4.4	104.6
9b.	Less refunds of subsidies	1		-7,761		-0.2	-4.6
9c.	Net Specific Subsidies	17		168,392		4.2	100%

for books published for sponsors to be carried as the sponsor's property. We turn over all the proceeds from sales to the sponsor, after deducting our handling commission, advertising and any other expenses."

Based on the questionnaire, subsidies not passing through a press' book of accounts would not appear at all. But in editing the replies to the questionnaires, we came across two cases where the total of such subsidies amounted to $41,266. A typical situation arises where a foundation, for example, pays the entire cost of publishing a book and the press distributes the book free. While we are sure that the amount of these subsidies was greater than the $41,266 noted, we had no way of even approximating the correct total for the 22 reporting presses. Accordingly, these amounts were deleted from Table 26 and are simply noted here for the record.

It should be noted also that one press reported subsidy refunds in the amount of $7,761 paid on books practically all of which were published prior to the Survey Year. Thus these refunds could not be related to this year's items, amounts or number of titles. Because of this difficulty, the refund is shown as an overall debit to Specific Subsidies.

The itemized Selling Expenses of 22 presses are shown in Table 27. It will be recalled from Table 18 that Selling Expenses constituted 21.1 per cent of Net Sales during the Survey Year.

The outstanding feature of these Selling Expenses, of course, is the relatively low expenditure for Salesmen's Compensation and Expense and the relatively high expense for Space Advertising, Direct Mail Circulars, Catalogues and Announcements, etc. That is to say, emphasis in the selling of books by university presses seems to be concentrated on the written word rather than on the efforts of persons such as salesmen and agents. In fact, total Salesmen's Compensation & Expense at $204,981 (Item 5) is less than the one item of Space Advertising at $215,550 (Item 7). Two presses noted that they could not separate Foreign and Domestic Sales Commissions; thus they showed all such Commissions in Item 3 and none in Item 5. Other presses may have encountered this situation, but failed to note it. Thus Item 5 is understated in this report by an unknown amount. The only fact that can be stated is that 11 presses which showed Item 5 reported $14,430 for this item, which constituted 0.5 per cent of their total sales of $2,664,375.

TABLE 27

SELLING EXPENSE ANALYSIS OF 22 PRESSES

	Dollars	Percent of - Net Sales	Percent of - Selling Expense
1. Selling Salaries	117,235	2.9	13.8
2. Selling Travel Expense	26,538	0.7	3.1
3. Agents' Commissions	61,208	1.5	7.2
4. Total Salesmen's Compensation & Expenses	204,981	5.1	24.1
5. Foreign Sales Commissions	14,430	0.3	1.7
6. Advertising & Promotion Salaries	82,981	2.1	9.7
7. Space Advertising	215,550	5.3	25.3
8. Direct Mail Circulars	73,854	1.8	8.7
9. Catalogues & Announcements	62,429	1.6	7.3
10. Exhibits	10,872	0.3	1.3
11. Cost of Review & Sample Copies	77,877	1.9	9.1
12. All Other Selling Expense	108,570	2.7	12.8
13. Total Selling Expense	851,544	21.1	100

Net Surplus or Deficit from Non-Book Operations for the 22 presses is shown in Table 28. Sixteen of the 22 presses had non-book operations during the Survey Year. A Net Surplus of $164,151 was shown by 12 of these presses, while a Net Deficit of $55,629 was shown by 4 presses; the net result here was a profit of $108,522.

The principal source of Surplus was from Printing Plant or Bookstore, while the principal Deficit occurred in Periodicals. Sources of other Surplus (or Deficit) from Non-Book Operations were named as follows: mailing division; addressographing and mailing; university mailing center; towards director's salary (the press reporting this item insisted it belongs here); and editorial and production services extended to other departments.

As shown in Table 29, 12 out of the 22 presses reported Overall Subsidies totalling $265,540 in the period covered. Practically all these blanket subventions came from parent institutions.

It will be noted that the Overall Subsidies received amounted to 6.6 per cent of Survey Year Net Book Sales ($265,540 ÷ $4,035,967). On the other hand, if the subsidies received by the 12 presses are related to the Net Sales of those same 12 presses, we find that such presses received Overall Subsidies in the amount of 11 per cent of their Net Sales.

In regard to subsidies from their own universities, it should be noted that 7 presses actually reported this item in the total amount of $140,720. In addition, 5 presses reported elsewhere in their replies to the questionnaire that they had Net Deficits from Total Operations (Item I of Table 18) totalling $115,220. The director of the Survey learned, however, that in each case the university made up this loss by what amounted to an overall subsidy. The total actual Overall Subsidies shown was therefore the sum of these two items, or $255,940. At the same time the Net Deficits from Total Operations for each of these 5 presses in the amount of $115,220 were reduced to zero, and thus Item I of Table 18 represents only surplus (and no deficit).

It can also be reported that one press noted that its Overall Subsidy had been received "to apply toward books published in the last fiscal year and to books now under production."

Item 8 reflects a subsidy reported as "Printing Plant," which the reporting press insisted belonged in this table.

In addition to these six breakdowns of items reflected in Table 18, certain data were collected from the 22 presses in

TABLE 28

BREAKDOWN OF NET SURPLUS OR DEFICIT FROM NON-BOOK OPERATIONS

	# of Presses & Amount of Profit or Loss						Percent of	
	Profit		Loss		Net		Net	Non-
	#	Dollars	#	Dollars	#	Dollars	Sales	Book
1. Periodicals	2	+4,013	7	-50,284	9	-46,271	-1.1	-42.6
2. Printing Plant	8	+109,352	1	-5,345	9	+104,007	+2.6	+95.9
3. Serials	1	+6,581		0	1	+6,581	+0.2	+6.1
4. Pamphlets		0		0		0	0	0
5. Tests	1	+800		0	1	+800	-	+0.7
6. Bookstore	2	+29,507		0	2	+29,507	+0.7	+27.2
7. Other	6	+13,898		0	6	+13,898	+0.3	+12.7
10. Total Net Surplus or Deficit	12	+164,151	4	-55,629	16	+108,522	+2.7	100%

TABLE 29

BREAKDOWN OF OVERALL SUBSIDIES

	# of Presses	Dollars	Percent of Net Sales	Percent of Over. Sub.
1. Own university	12	255,940	6.3	96.4
2. Other universities		0		
3. Foundations	1	6,500	0.2	2.4
4. Other outside organizations		0		
5. Authors		0		
6. Government		0		
7. Non-academic		0		
8. Other	1	3,100	0.1	1.2
9. Total Overall Subsidies	12	265,540	6.6	100%

regard to their inventories at the time of the Survey. The next two tables show this material.

The Survey Year-end inventory held by the 22 presses is shown in Table 30. Of this total $2,569,879 inventory, 74.0 per cent was in bound books, 13.5 per cent was sheet stock, 3.4 per cent cloth and 9.1 per cent was paper.

All presses did not carry all of these items of inventory, of course. In order to give a more accurate idea of the inventory holdings, therefore, the data of the 22 presses were classified into four groups, as shown in the table. For example 6 presses, whose inventory totaled $1,659,483 and was comprised of all items of inventory listed, had 64.2 per cent of their combined inventory in bound books, 18.2 per cent in sheet stock, 5.1 per cent in cloth and 12.5 per cent in the form of paper. This group's inventory, incidentally, comprised 64.5 per cent of total inventory, while this group's sales of $2,459,566 constituted 61 per cent of the total sales of the 22 presses. Three other subdivisions also are shown based on the items of inventory held.

Under Item 2, two presses reported an amount for "Work in Process" and we added these small amounts to Cloth. Similarly, one press reported an item of "Plate Inventory, Supplies and Work in Process" and this item was added to Cloth, even though plates are considered fixed assets rather than inventory and the inventory of supplies should not have been included; but the amounts involved were very small.

Inventory Write-Down as reported for the Survey Year and the previous year is shown in Table 31 in relation to the inventories held by the presses reporting. Of the 15 presses reporting any data on inventory write-down for the Survey Year, 6 reported that they did not write down inventory, while 9 reported that they wrote their inventory down by only 8.5 per cent ($131,012 ÷ $1,548,150). Counting in the 6 presses who reported that they did not write-down their inventory, in fact, these 15 presses wrote down their inventory only 6.2 per cent ($131,012 ÷ $2,132,222).

For the previous year, there were 10 presses who wrote down their inventory by 19.5 per cent ($233,184 ÷ $1,190,210).

Included in the 9 presses which wrote down inventories was one press which reported that "we write down to one dollar all items published prior to the current fiscal year (a new printing or edition of a title is considered as a part of the current fiscal year's inventory)."

TABLE 30

ANALYSIS OF SURVEY YEAR-END INVENTORY OF 22 PRESSES

	6 Presses with All Items		8 Presses with Bound Only		5 Presses with No Paper or Cloth		3 Presses* with No Cloth or Sheets		Total of 22 Presses	
	Dollars	%	Dollars	%	Dollars	%	Dollars	%	Dollars	%
1. Paper	208,858	12.5	0	0	0	0	25,582	11.4	234,440	9.1
2. Cloth	84,913	5.1	0	0	0	0	4,075	1.8	88,988	3.4
3. Sheet Stock	301,917	18.2	0	0	44,357	20.0	82	-	346,356	13.5
4. Bound Stock	1,063,795	64.2	464,063	100	177,505	80.0	194,732	86.8	1,900,095	74.0
5. Total Inv.	1,659,483	100	464,063	100	221,862	100	224,471	100	2,569,879	100
Net Sales	2,459,566		757,391		483,238		335,772		4,035,967	
%Inv. to Sales	67.5		61.3		46.0		67.0		63.7	

*Includes 1 Press with Cloth but no Sheets, and 1 Press with Sheets but no Cloth.

TABLE 31

ANALYSIS OF INVENTORY WRITE-DOWN
RELATIVE TO INVENTORY HELD AT END OF SURVEY YEAR

	Survey Year			Previous Year		
	#	Amount of Write-Down	Ending Inventory	#	Write-Down	Ending Inventory
Press Reporting Some Inventory Write-Down	9	$131,012	$1,648,150	10	$233,184	$1,190,210
Press Reporting Zero Inventory Write-Down	6	0	484,072	5	0	256,165
Sub-Total Reporting	15	$131,012	$2,132,222	15	$233,184	$1,446,375
Presses Not Reporting	7	?	437,657	7	?	264,644
Total of 22 Presses	22		$2,569,879	22		$1,711,019

Another press stated that "beginning about four years ago, we started writing off as publishing expense any cost that had not been covered at a period five years from the date of original publication, or from the last reprint."

One press reported that its "previous year" inventory (and earlier years) was valued at 85 per cent of retail price. Beginning with the Survey Year, however, there was a sizable (for them) write-off so as to put their inventory on a manufacturing cost basis.

This completes the data collected from the 22 members of the Association in connection with their Survey Year operations. An attempt was made also to gather comparative data from all members of the Association in regard to their book-publishing operations during the ten years up to and including the Survey Year. Complete data could be furnished by only 10 presses, all of them from among the 22 listed previously. These 10 presses were: Chicago, Cornell, Harvard, Loyola, Minnesota, North Carolina, Princeton, Stanford, Toronto, and Yale.

The data collected from these 10 presses are nevertheless significant since the net book sales of these particular presses during the Survey Year totalled $2,841,914, or 70 per cent of the total sales reported by the 22 presses during this period.

The consolidated data of the ten presses for the 10-year period 1939 to 1948 are shown in Table 32. Also in the last line of the table, the analogous Survey Year percentage data of all 22 presses are shown. The close similarity of the Survey Year percentages for the 22 and for the ten presses indicates that the data from the latter may be representative of the whole.

As will be seen in Column 1, the Net Sales of these ten presses increased each year from $858,264 in 1939 to $2,841,914 in 1948, or by 232 per cent.

Other Income has grown steadily with dollar sales, but has shown practically no change percentage-wise to Net Sales over the entire period.

Book Subsidies have tended to decline over the period. The largest subsidies received were in 1939 at $167,643, while the smallest subsidies are shown in 1945 at $44,440. The 1948 figure was $93,010. For the last three years, Book Subsidies have hovered around 4 per cent of net sales.

On the expense side of the ledger, Manufacturing Cost in 1939 amounted to 52.7 per cent of net sales and dropped irregularly thereafter to a low point of 42.6 per cent of 1945

TABLE 32

TEN-YEAR COMPARATIVE BOOK PUBLISHING DATA FOR 10 PRESSES

Fiscal Year Ending	Net Sales (Col. 1)		Other Income (Col. 2)		Book Subsidies (Col. 3)		Total Cols. 1, 2 & 3		Manufacturing Cost (Col. 4)		Authors' Royalties (Col. 5)		Other Expense (Col. 6)		Total Cols. 4, 5 & 6		Net Balance from Book Operations (Col. 7)	
	Dollars	%	Dollars	%	Dollars	%	Dollars	%	Dollars	%	Dollars	%	Dollars	%	Dollars	%	Dollars	%
1939	858,264	100	52,724	6.2	167,643	19.5	1,078,631	125.7	452,164	52.7	136,416	15.9	523,112	60.9	1,111,692	129.5	-33,061	-3.8
1940	907,678	100	45,742	5.0	138,347	15.3	1,091,767	120.3	448,746	49.4	136,740	15.1	558,730	61.6	1,144,216	126.1	-52,449	-5.8
1941	933,952	100	62,352	6.7	110,730	11.8	1,107,034	118.5	480,592	51.5	131,674	14.1	587,438	62.9	1,199,704	128.5	-92,670	-10.0
1942	1,151,790	100	60,042	5.2	136,420	11.8	1,348,252	117.0	587,026	51.0	145,049	12.6	663,469	57.6	1,395,544	121.2	-47,292	-4.2
1943	1,165,902	100	75,070	6.4	102,063	8.8	1,343,035	115.2	568,348	48.7	157,610	13.5	601,482	51.6	1,327,440	113.8	15,595	+1.4
1944	1,439,541	100	71,931	5.0	86,160	6.0	1,597,632	111.0	616,263	42.8	221,434	15.4	689,744	47.9	1,527,441	106.1	70,191	+4.9
1945	1,894,233	100	113,814	6.0	44,440	2.3	2,052,487	108.3	806,396	42.6	265,353	14.0	819,937	43.3	1,891,686	99.9	160,801	+8.4
1946	2,015,744	100	133,965	6.6	55,698	2.8	2,205,407	109.4	872,309	43.3	295,883	14.7	981,966	48.7	2,150,158	106.7	55,249	+2.7
1947	2,651,998	100	136,083	5.1	79,107	3.0	2,867,188	108.1	1,196,243	45.1	349,660	13.2	1,165,256	43.9	2,711,159	102.2	156,029	+5.9
1948	2,841,914	100	155,481	5.5	93,010	3.3	3,090,405	108.8	1,361,924	47.9	374,695	13.2	1,403,735	49.4	3,140,354	110.5	-49,949	-1.7
Total Data of 22 Presses for Survey Year Only (from Table 20)		100		5.4		4.2		109.6		48.4		13.0		51.5		112.9		-3.3

sales. Since that time it has grown to a 1948 figure of about 48 per cent of Net Sales.

Author's Royalties have held in the range of 13 per cent to 15 per cent over the entire period, with the 1948 figure at 13 per cent.

Other Expense has ranged from a high of 62.9 per cent of net sales in 1941 to a low of 43.3 per cent of 1945 sales. The 1948 figure of this item was 51.5 per cent of net sales.

The Net Balance from Book Operations consistently showed a loss from 1939 through 1942, ranging from 4 per cent to 10 per cent of net sales in those years. Over the next 5 years, these presses operated at a profit ranging from 1.5 per cent to 8.5 per cent. For the year 1948, on the other hand, the presses showed a small deficit percentage-wise.

One final set of comparisons is offered in Table 33. In this table operating percentages of the 22 presses, as drawn from the center column of Table 18, are contrasted with percentages from 15 commercial trade-book publishers. The figures for the commercial trade-book publishers are cited from the 1947-48 Statistical Report of the American Book Publishers Council; the publishing organizations represented included many leading trade publishers, as well as 3 university press members of the Council (Columbia, Harvard and Princeton). The figures shown in this table speak for themselves.

The Hunt report makes plain once more that while it proved possible during this Survey to assemble more detailed operating figures than twenty years ago, the task was still not an easy one. To provide the data shown in this chapter required prodigous efforts on the part of the cooperating presses and, as Mr. Hunt's letter remarked, only their warm interest in the project made it possible to compile as much data as are shown in these tables.

There were many indications that the experience of supplying the data requested for these operating figures was an instructive one for many presses. The experience will not prove of real value, however, unless it leads to a greater concern with proper accounting on the part of each press and to a periodic comparison of even more extensive and revealing figures compiled from all members of the Association, at least.

TABLE 33

1947 OPERATING EXPENSES AS A PERCENTAGE OF NET SALES FOR UNIVERSITY PRESSES VS. TRADE PUBLISHERS

	AAUP Survey	ABPC* A	ABPC* B
Manufacturing Cost†	48.4	39.2	46.3
Royalties	13.0	17.3	18.6
Editorial	6.2	5.8	4.5
Selling	21.1	20.0	22.4
Shipping	4.7	4.1	4.8
All Other Overhead	19.5	17.0	23.5
TOTAL OPERATING EXPENSE	112.9	103.4	120.1
Other Income#	9.6	11.2	12.4
Net Income	-3.3	7.8‡	-7.7‡

*Statistical Report of American Book Publishers Council 1947-1948.

A. Average of 6 companies with sales of $250,000 to $1,000,000 showing a profit.

B. Average of 9 companies showing a loss.

†Manufacturing Department Salaries and Expenses are included in All Other Overhead.

#For University Presses, includes secondary and miscellaneous income plus specific subsidies; for ABPC, includes royalties received and net financial income.

‡Before Federal Income Taxes.

XV. Who Pays the Bills?

"Did Charity prevail, the press would prove
A vehicle of virtue, truth, and love."

--Cowper

"By the very nature of the work which a university press is supposed to do," said Norman V. Donaldson in 1947, "it cannot be expected to make money or even to meet its expenses without help." These words from the Managing Director of the Yale University Press would appear to be axiomatic, yet the question of whether, and if so, how, a press can be made self-supporting is often raised, usually by university authorities who regard the press's resemblance to a "business" as evidence that it ought at least to break even.

Other experienced press directors have commented variously. Said W. T. Couch in 1942: "The test is not the extent to which the press is self-supporting...The test is whether the press is able, by careful management, to use subsidies in such a manner as to do more with them than would be accomplished if the subsidies were applied directly to limited interest books, no other complementary kind of publishing being undertaken."

Savoie Lottinville placed this construction on the matter in 1947: "No institution can expect its scholarly press to be completely self-supporting. A press may break even in good years, or occasionally make money, but if it does so consistently, it is not publishing the kind of scholarship to which its parent institution is presumably dedicated. I say this because scholarly books, while definitely merchantable, are not merchandise. Although the word 'contribution' is used loosely even by scholars, it remains that a university's contribution to humanity is, at its best, immeasurably more important than the cash books are likely to show."

A glimpse of the methods by which a not untypical press finances its program is contained in the reply made recently by its director to an inquiry from a member of another university's press committee: "I am not exactly certain what you mean by 'self-supporting.' The Press is supposed to be self-supporting and, in a way, can be shown to be so. At least our publication fund is expected to revolve; the manufacturing and publicity costs for our publications are expected to be met from the income of sales. If, therefore, our revolving fund is not overdrawn, I suppose the Press could be said to be self-supporting. That fund is not overdrawn.

"On the other hand, these factors do not enter into the bookkeeping concerned with our publishing fund:

1) the University pays salaries;

2) the Blank Research Foundation provides an annual subsidy of $15,000 for the publication of research;

3) a number of our publications are subsidized wholly or in part from outside sources.

"In other words, we are not self-supporting though it would be difficult for me to show accurately what the total annual subsidy is."

In the sense that they drew no regular, direct, over-all subsidies from their universities at the time of the Survey, the writer could find no more than 7 "self-supporting" presses among the members of the Association. Five of these were attached to private universities. Four were incorporated. None of them were less than fifteen years old and 5 had been active for more than twenty years.

In 2 cases, non-book activities, principally income from printing plants, contributed conspicuously to the net operating balance. In 2 cases (both older presses with substantial backlists) book sales income alone had turned the trick. In one case sales income had been combined with a system of endowments built up slowly over the years. In none of these instances had the press achieved a surplus on its operations in every one of its last ten years, although the net balance for the period had been favorable. At one press operating on a departmental basis, the university was in effect providing a subsidy by permitting the press, if and when necessary, to draw on the free funds of the university for working capital. All seven presses were skillfully managed by full-time, experienced directors in whom confidence and authority had been vested.

It has been made plain previously that periodical publishing among university presses is rarely self-supporting. This is

also true of monographic publishing. The press which limits its program to these fields--and several members of the Association did so at the time of the Survey--has, in a sense, a simple financial problem. The question, as one director has put it, is "For how much of this material should funds be provided?" rather than "Should we subsidize it?" And the answer to the question is usually supplied by the parent institution, in terms of the obligation it feels to members of its own faculty and to scholarship.[1]

It is when the press accepts the further obligation to publish for a wider audience that the questions of finance become infinitely more important--and more complicated. The kind of book implied in such recognition was once described by August Fruge as "meant neither for the masses nor for the tiny group of specialists, but for one of those groups which none of us have been able to name adequately--the educated laymen, the intelligent general reader, the amateurs of science--a group that may be expected to buy from one to ten thousand copies of a book.

"In many ways," the Associate Manager of the University of California Press added, "these are the most important books that come from the presses--they are the books that educate that part of the public that wants to be educated. They are the books that teach one scholar something about the fields of other scholars. They are the books which explore little known corners of big subjects...And they are the books which have made the fame if not the fortune of many university presses."

The majority of the presses under study had undertaken the publication of such books, in addition to their more specialized obligations, at the time of the Survey and this chapter will concern itself primarily with how the costs of publishing such a rounded program has been met.

A study of the center column in Table 18 in Chapter XIV reveals that during the Survey Year 22 members of the Association of American University Presses received income from six principal sources, as shown at the head of the next page:

1. In many cases, the Bean report observed, "The university press was a reluctant recognition of the responsibility of the individual institution toward the material which it had stimulated."

Net book sales	$4,035,967
Secondary income	55,963
Miscellaneous income	163,690
Specific book subsidies	168,392
Net non-book income	108,622
Overall subsidies	265,540
	$4,798,074

It will be remembered that secondary income referred to the sale of subsidiary rights, such as translations, book club, reprint, etc., that miscellaneous included in some cases the income from commission books, and that specific subsidies meant subventions received for use on specific titles, as opposed to overall income which included appropriations received mainly from the parent institution, not earmarked for use on any specific publications.

It may be interesting to show here also just how this income was spent (see Table 18):

Manufacturing Costs	$1,983,920
Royalties	525,239
Editorial Expenses	250,129
Selling Expenses	851,544
Shipping Expenses	189,291
General and Administrative	787,008
	$4,557,131

These income and outgo data are presented in Figures 2 and 3 on the following page. Net book sales have been split into backlist and current.

Thanks to the income from their non-book activities and thanks even more to overall subsidies, the net balance for these particular presses in this period was a favorable one. The bill for general overhead, however, was held down by the fact that at all but 3 of these presses the parent institution supplied at no charge such services as rent, utilities, salaries, accounting, etc. Among the 19 presses which enjoyed such overhead savings, 9 did not find it possible to estimate such savings but the other 10 presses submitted estimates ranging from $1,000 to $44,129 and totalling $116,589. Were all 19 presses able to compute the value of these overhead savings, the increase in general and administrative costs might well wipe out the net surplus of $240,943 now reported by the group.

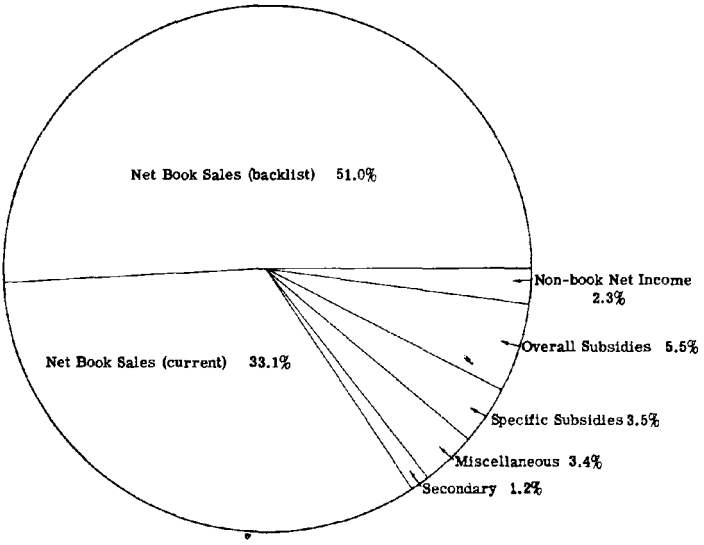


Figure 2. Income

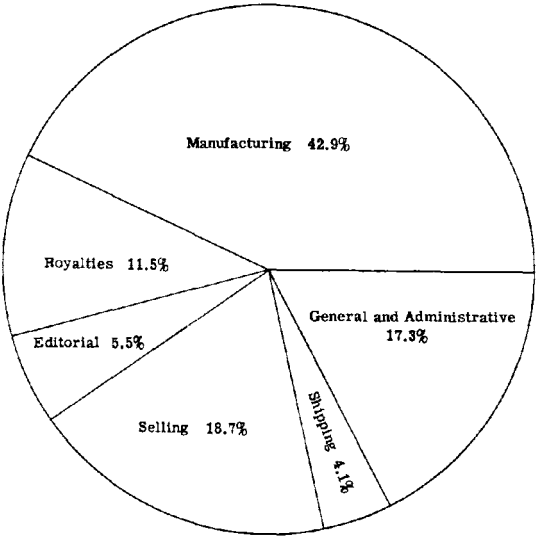


Figure 3. Expenses

Where the University Press Dollar Came From and How It Was Spent, as Reported by 22 AAUP Members for the Survey Year.

A complete list of the sources of income tapped by members of the Association follows. Very few presses, of course, drew from all these sources but different combinations of them were found.

1. Book sales. In general, this was by all odds the single largest source of income. For the 8 presses reporting a surplus for the Survey Year, net book sales accounted for 95 per cent of all income.

2. Special book publishing. Several presses acted as agents for the publication of books and realized considerable income from these "commission" and "consignment" titles.

3. Secondary income. The sale of subsidiary rights was a source of consequential income at only one press.

4. Specific subsidies. These usually took the form of underwriting the cost of manufacture and played an important role in the number of titles produced, if not in the dollar income realized. The sources of this income were the parent institution (out of general, special, or departmental budgets), authors, outside educational institutions, learned societies and associations, foundations and special research organizations.

5. Non-book activities. This included income from the sale of periodicals, pamphlets, maps, syllabi, tests, etc., as well as the net income realized from printing plants and bookstores, and the sale of such services as mimeographing, mailing, etc. Where printing plants and bookstores were concerned, this was often an important source of income.

6. Overhead savings. As mentioned earlier, this hidden form of subsidy consists of facilities or services provided to the press by its parent institution for which no charge appears in the records. In a number of cases, the savings were large.

7. Endowments and gifts. A few presses, not many, have acquired funds in the past from which income is available as may be necessary, in connection with specific projects or a general program.

8. Reserves. A surplus may have been accumulated in the past from which income is available for special projects or to cover an overall deficit. This was true at perhaps 10 presses.

9. Overall subsidies. This income takes the form of blanket subventions from outside sources or appropriations from the parent institution. Next after sales income, this

was the largest source of income at the majority of presses studied.

It is perhaps possible now to draw up an answer to the question posed in the title of this chapter. The bills covering the cost of the publications issued by university presses are paid by:

1. The consumer, whether scholar, student, layman, or institution.
2. The author, whether consumer, underwriter, or worker without remuneration.
3. The university, whether consumer, underwriter, or sponsor.
4. The outside organization, whether learned society, association, council, research institute, or foundation.

How much was paid by these four classes in a given period like the Survey Year, it was not possible to determine. The scholar buys university press publications, and sometimes subsidizes the cost of his own. The parent institution through its book and periodical purchases contributes to the income of many university presses, and often subsidizes its own. The outside organization, which frequently subsidizes research, sometimes subsidizes publication.

An attempt to pin down the actual amount of subsidies received from all sources by the members of the Association during the Survey met with only indifferent success, as made clear in previous chapters. The data were available only from a wide variety of sources, since no complete records existed; in many instances, the diversity in methods of keeping records constituted a major obstacle. Attempts to secure exact data from some of the sources of these subsidies proved equally frustrating.

Among the 22 presses able to supply detailed figures, it can be seen from Table 18 that the total specific and overall subsidies for the Survey Year amounted to $433,932. The sources from which this sum came are indicated in Figure 4. Since this was the first attempt on the part of university presses to report their subventions, however, it may be true that the figures submitted were, strictly speaking, not always comparable. This doubt, coupled with what the Survey Director learned in interviews, prompts the guess that the total subsidies of all kinds made available to these 35 presses during the Survey Year amounted to perhaps a million dollars.

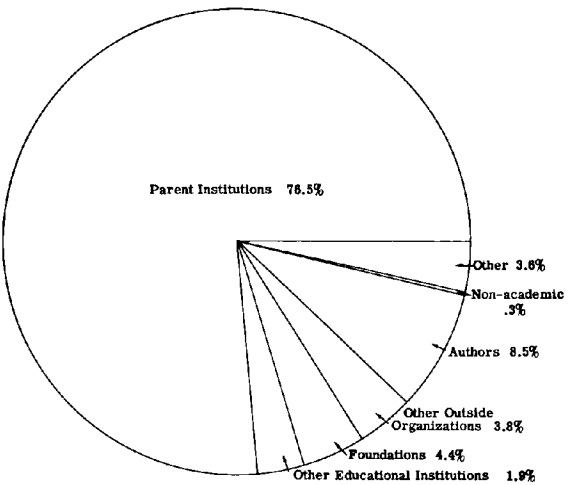


Figure 4

Sources of Subsidies, as Reported by 22 AAUP Members of the Survey Year

The foregoing provides some answer to the question of where the help came from at the time of the Survey. Where will it come from in the future and how much is needed? To answer the latter question first, more is needed in many cases and less in only a few. More is needed because the period studied was a period of rising costs and it is not likely that costs will sink back to the pre-war level, even if a broad economic "adjustment" occurs. More is needed also because peacetime research is once more on the march and the output is bound to grow. Less is needed in some cases because there are signs that more competent management, a wiser program, and the necessary capital will enable several presses to achieve a greater degree of self-sufficiency.

Where will the help come from? Who should pay the bills? There are numerous views on this subject.

An endowment is one answer which has been put forth many times. Frank Aydelotte, then Director of the Institute for Advanced Study at Princeton, spoke out in 1946: "The business of the university is the dissemination of knowledge. Do we do it better by lectures or by books? That question has never been faced squarely in the United States. If it had been, those American university presses lacking Bibles and prayer books would be better supported by endowed funds."

In these times large general endowments are probably not to be expected. Should they be forthcoming, it might be wise to remember George Parmly Day's observation that if "the press is to remain always most keenly interested in increasing to the utmost the sales of its publications it is perhaps desirable that such income from general endowment should be less than the actual needs of the enterprise." The formula advocated by Mr. Day provided for "the establishment of individual publication funds as distinct from general endowment," with the university acting as trustee of such funds and making them available to the press by contract for specified projects.

Help from foundations is another answer put forth frequently. Few if any of the major foundations, however, have the facilities for making decisions on individual projects and generally do not consider manuscripts. Occasionally their grants in aid of research include funds for publication but customarily they prefer to let publishing take care of itself, believing that this is the legitimate responsibility of others, including both university and commercial publishers, and that the scholar may be encouraged to improve his product if he must achieve publication in a competitive market.

Indirectly, of course, the large foundations have provided much aid to publication by their continued support of learned groups, the funds of which in turn have often been used for publication as well as research. Foundations have also been known to make blanket grants to university presses: between 1926 and 1945, The University of North Carolina Press received a total of $190,000 from the Laura Spelman Rockefeller Memorial, the General Education Board, the Rosenwald Fund, and the Carnegie Corporation, and in 1926 The University of Chicago Press received $100,000 from the Laura Spelman Rockefeller Memorial. But such general subsidies are not common and are not likely to be repeated except under unusual circumstances.

What of the obligation of the parent university or college? As long ago as 1921, Wilbur L. Cross, then Dean of the Graduate School at Yale, stated at the annual conference of the Association of American Universities: "Scholarly publication of every kind, I assume, has the moral support of the great American universities but it must also have their full financial support also if they are to take the position which may be rightly expected of them..."

In a report embodying the results of a study of the experience of the American Council of Learned Societies in aiding the

publication of scholarly books in the period 1935-39, Donald Goodchild sought information from a number of leading universities concerning the financial responsibility which these institutions could assume toward the publication of the products of their faculties. "From the replies received," reported Mr. Goodchild, "it is hard to construct any summary statement. The lack of financial resources is of course ubiquitous. Efforts are being made in most of the universities consulted to do something about the publication problem, sometimes through direct subsidy and sometimes by the university through its university press. In general the problem is posed in the simplest of terms: what is needed is money, and then more money."

How those responsible for the management of presses felt may be judged by the following excerpts:

From an economic survey of one press in 1940: "If the University...is to maintain its rank as a center of light and learning in a very dark world, it may be necessary to spend in the future a little more than 1/10 of one per cent of its budget on the University Press."

From a memorandum prepared by a director in 1942: "Universities...think when they provide a few thousand dollars a year, they have done all that is necessary...Nobody asks where the money is coming from to pay for the publication of books on which losses, in addition to handling costs, will be involved. In fact, it is not likely to be understood that there will be such losses. On the contrary, savings from centralized handling of miscellaneous publishing already being done, and profits from new publishing most likely will be expected. When these are not realized, operations of an extremely wasteful nature may continue indefinitely merely because no one knows what is going on."

From the annual report of another director in July, 1948: "(The) University is rapidly advancing in leadership among the great universities. So far as the Press is concerned, the question is: are we going to be able to make a comparable growth in publishing or are we going to sink to the level of a second-rate institution?"

From an analysis of the objectives which one university had in mind in considering an investment in working capital for its press, prepared by the director of the press in November, 1948: "1) to reduce to the lowest possible minimum the legitimate cost of publishing works of essential scholarly importance; 2) to build up, intelligently and without unjustified impatience,

a trade program that will absorb in increasing amount the many-sided costs of essential scholarly publishing; and 3) to protect the reputation of the University by supporting a staff of professional craftsmen capable of gaining the best result from both the creative and the business necessities of this enterprise."

If the onus does in fact lie on the parent institution, how may help be given wisely and effectively? Again, the choice of courses is great, according to local circumstances. Some institutions have begun to pay more attention to setting aside funds for publication at the time research is financed. This course has been urged from many sides for many years. Others have accepted the fact that a regular appropriation may be necessary to support the press for a long time to come. Others have encouraged their presses to strive for greater revenues from non-book activities and to plow any such surplus back into the publishing program.

Some institutions have assisted their presses to take what Donald P. Bean called, in 1933, the "profit road"--a path sometimes followed by a press to "enlarge its scale of commercial ventures in the hope that larger profits might finance the publication of the increasing number of admittedly unprofitable scholarly projects."

"There are, however," Mr. Bean pointed out, "real obstacles to overdevelopment of this type of publishing under university auspices: 1) larger outlay and investment, more risk, and not always greater profit; 2) competition with commercial agencies; 3) an undue proportion of commercial publishing might overshadow the distinct objective of a university press."

Working capital in the form of a revolving fund to finance expensive projects or entire programs is a form of university support which has been discussed at several institutions during the period of this study and adopted by at least two. At both these two presses, one attached to a private institution, the other to a state university, expanded press programs are in prospect and will be made possible by the decision on the part of the parent institution to equip the press with working capital. In both cases, adequate authority has been granted to the management to afford this system of financing a real opportunity to function.

The same system could not be applied at every press, even were it desirable to do so, unless many hindrances were

removed. At a number of institutions, unspent funds must revert to the university or to the state at the end of a fiscal period; in other cases, the university insists that press revenues pass into the university treasury, thus preventing the press from reaping the results of its profitable years. In general, however, this observer noticed a growing realization that the financial affairs of a press cannot always be regarded in the same light as other university departments. There was a corresponding tendency to investigate ways and means of providing from whatever resources might be available adequate funds to carry forward that schedule of press activity best suited to the particular institution.

Money alone was not enough, it must also be remarked. Added financial assistance will only cure the ills of a press which knows what it is doing and how to do it. A university, having first satisfied itself that it cannot afford to do without a press, should ask itself at least three other questions:

1) Is the press engaged in activities which uphold the standards of scholarship followed at this university?

2) Has the press a program?

3) Is it properly managed?

If the answers are all in the affirmative, the sponsoring institution is entitled to expect, in return for the twin grants of authority and financial support, that a competent management will exert every effort to help itself. The bills can be reduced by making certain that every avenue of economy in manufacture has been intelligently explored, every channel of distribution effectively exploited, and every source of manuscripts of sufficiently high standards diligently pursued.

Perhaps the single greatest misunderstanding on the part of universities and colleges seeking solutions to the financial problems of their presses has been in regard to the long-range nature of publishing. "Books are planned months and often years in advance," reminded Rollin D. Hemens in 1947, "in normal times it takes something like six months to produce and publish a book after the manuscript has gone to the printer; moreover, it requires years to build a good list and a competent staff to publish successfully."

Only if this axiom is coupled with the one offered by Norman V. Donaldson at the beginning of this chapter can American educational institutions and their presses speak a common language in their efforts to solve their basic economic problem--the problem described by David H. Stevens as "how and from what source may come the essential funds for long and wise plans."

XVI. Cooperation among Presses

"United thoughts and counsels, equal hope,
And hazard in glorious enterprise."—Milton

In 1892, The Dial commented, in connection with the university press and its functions, that "For all but the institutions of the largest resources, some sort of cooperation in their work of publication is extremely desirable and would be attended by very slight practical difficulties." Some sort of cooperation has not only proved desirable in the almost sixty years since this prophetic editorial appeared, but has often been realized, although it cannot always be claimed that the attendant difficulties have been "very slight."

The first attempt at cooperative action by university presses appears to have been made when Yale and Harvard combined in 1916 to establish a joint sales agency located in New York City. This venture, which was called, somewhat prematurely, the University Press Association, was sparked by George Parmly Day whose 1914 address had called for joint effort. Chicago and Princeton were invited to participate but did not elect to do so and the organization was abandoned several years later.

In 1928, thirteen presses pooled their interests to issue a joint catalogue describing sixty-five of their recent publications (California, Chicago, Clark, Columbia, Duke, Harvard, New York, North Carolina, Oxford, Pennsylvania, Princeton, Stanford, and Yale). This joint manifesto was handsomely printed at Princeton, bore the title Shelfward Ho!, and contained a hearty preface by Christopher Morley. It was distributed largely by direct mail and contained order forms to be mailed "to your local bookstore or direct to the publisher."

Two years later, six of these same presses (Chicago, Harvard, Oxford, Pennsylvania, Stanford, and Yale) cooperated in an advertising campaign in the form of a column of discourse written (but not signed) by a well-known book reviewer. Called The Lookout, the column was inserted bi-weekly in The New York Times, The Saturday Review of Literature, and other media. Reprints of the column carrying the author's name, which was Harry Hansen, were distributed originally to bookstores for their information. A number of stores demanded copies for their customers, however, and by the time the eleventh column appeared, almost 20,000 reprints were requested by bookstores all over the country.

In 1936, Farrar & Rinehart announced the incorporation of a subsidiary organization to be known as United University Presses. This organization, managed by Helmut Ripperger, was conceived as a centralized promotion and selling service for university presses and other scholarly publishers. Collective shipping and billing facilities were also available.

The name was presently changed to University Books, Inc., a showroom was opened in New York City, and a joint catalogue was issued. Participating organizations included, at various times during the next two years, university presses at Brown, California, Duke, Louisiana, Michigan, Minnesota, New Mexico, North Carolina, Oklahoma, Pittsburgh, Stanford, and Texas, as well as the American Federation of Arts, R. R. Bowker Company, Centre d'Informations Documentaires, Dartmouth College Publications, Henry E. Huntington Library, McFarlane, Warde, McFarlane, Inc., Metropolitan Museum of Art, Morgan Library, National Bureau of Economic Research, New York Public Library, Officina Bodoni, Twentieth Century Fund, Inc., and the Verona Press.

It will be noticed that none of the older and larger university presses elected to avail themselves of the services offered by University Books, Inc., apparently preferring to rely on their own sales efforts. The consequent lack of volume, as well as other factors, led to the discontinuance of the venture in 1938. It should be remarked that this was not, strictly speaking, a cooperative enterprise, since the initiative and the capital were not supplied by the presses themselves. It was, rather, an attempt by a commercial publisher to establish a centralized service to assist such organizations to promote their publications.

Meantime, a group of leading university press publishers had begun in the early 1920's to meet regularly in connection with their attendance at the annual meeting of the National Association of Book Publishers to which their presses belonged. These rump meetings were led by Donald P. Bean, then of Chicago, and usually attended by W. T. Couch of North Carolina, Norman V. Donaldson of Yale, Rollin D. Hemens of Chicago, David H. Pottinger of Harvard, Charles G. Proffitt of Columbia, Phelps Soule of Pennsylvania, and Paul G. Tomlinson of Princeton. As the group began to discuss their mutual problems and exchange views and information, it was only natural that minutes should be kept and thus was born an association of American university presses.[1] "Our American university presses admittedly have much to learn from each other," George Parmly Day had said in 1914, "but happily are none of them too old to learn."

By 1928, the group had grown to a point where it held its own one-day meetings and by 1937, eighteen persons attended, representing twelve presses, which seemed to call for a more formal organization. Mr. Bean was elected chairman and Mr. Proffitt secretary, and in 1941, when the first dues were levied, the latter position was changed to secretary-treasurer with Mr. Hemens as its first incumbent. The Messrs. Donaldson, Couch, Proffitt, Hemens and Datus C. Smith, Jr., of Princeton have served as president since that office was created in 1939.

By 1946, during Mr. Hemens' presidency, membership had grown to 35 presses and the annual meeting held at Chicago was a two-day session attended by 58 representatives of 26 presses. The formal aspects of an association were completed with the adoption at this meeting of by-laws, one of which defined the purpose of the Association as "to provide an organization through which American university presses may exchange ideas, engage in cooperative enterprises, present a majority opinion in dealing with other branches of the publishing industry, and consider all other matters which might affect university presses."

Four cooperative enterprises sponsored by the Association in recent years should be given special note: The Educational

1. The name was not formally adopted until 1946. For a time in the 1920's the group was known informally as the Pure-Tobacco Growers Association.

Directory, the joint exhibit program, the joint catalogues, and the reciprocal agreement on permission to quote.

The Educational Directory is a mailing list established at The University of Chicago Press in 1931. The Association later assumed responsibility for its operations, although the service continued to be conducted from Chicago's quarters, where it was still located at the time of the Survey. At the Directory office, some 321 lists have been assembled and they are frequently revised and expanded. These lists contain names of individuals, mostly in the academic world, covering such diverse classifications as college presidents (1775 names) and teachers of pomology (85). In many fields, separate lists limited to department heads are available, while such broad subjects as history have been subdivided into as many as ten classifications.

The service consists of maintaining these lists and of addressing material to be used for direct mailing purposes, the lists themselves not being distributed. The charge for this service was raised twice in 1948 because of increasing costs and stood at $13 per thousand pieces as of January 1, 1949. Additional mailing service was available at an extra charge, as were other special operations, such as folding, gathering, hand stamping, etc.

At the outset, the Directory was underwritten by a three-year grant from The Rockefeller Foundation, not to exceed $3,000 per year. By 1936, the venture had begun to break even and between 1938 and 1948, it operated in the black.

During the fiscal year ending June 30, 1948, the Directory staff handled a total of 2,380,858 addressings on 726 jobs performed for 152 organizations, 23 of them members of the Association. The services of the Directory first became available to outside organizations in 1934, to help meet expenses, and since that time the number of jobs handled for outside groups has regularly exceeded those performed for the sponsoring presses. A breakdown of the 1947-48 figures cited above revealed that 412 jobs, or 57 per cent of the total, were performed for 129 commercial publishers, societies, associations, institutes, corporations, and individuals, including such diverse ones as Longmans, Green & Company, Municipal Finance Officers Association, Dr. Julius Rosenthal, General Motors Corp., Bituminous Coal Institute, American Museum of Natural History, Time, Inc., Paul Saunier, Simon and Schuster, and United Nations News.

Sponsorship of the Directory, however, remained in the hands of the 18 members of the Association who pledged it their support in 1947-48 by guaranteeing to channel at least 558,000 addressings through the service. Actually, only 16 of the pledging presses used the service during this period but their addressings totalled 1,019,245. They were California, Chicago, Columbia, Cornell, Harvard, Johns Hopkins, Iowa State, Minnesota, New Mexico, North Carolina, Oklahoma, Pennsylvania, Princeton, Stanford, Washington, and Yale. The addressings ordered by this group ranged from 768 to 226,155.

In return for their support, pledging presses receive a rebate at the end of the operating year, in proportion to the amount of service requested, but with this privilege, of course, goes the responsibility for meeting any deficit, again on a prorated basis. This proved to be necessary for 1947-48. The recent increases in charges and a marked increase in the use of the Directory by outside clients during the first four months of 1948-49 were expected to make the Directory again self-sustaining.

About 1935, a few university presses began to display their books jointly at several meetings of national associations. Through experimentation and growth this program was expanded until, at the time of the Survey, 27 members of the Association were participating in over 30 national meetings a year in the fields of education, history, science, medicine, and many others.

Again The University of Chicago Press serves as headquarters. A member of the staff of that press is in charge of all exhibit arrangements, i.e., notices of the meetings, sending out instructions, allocating personnel and equipment, and keeping the records. In general, the press nearest the place of the keeping becomes responsible for actual handling of the exhibit. The Association owns portable display equipment which is stored at Columbia, Chicago, and Stanford for rapid shipment to meetings in those respective vicinities. Costs are defrayed by special annual dues of $20.00 per participating press to cover general clerical costs, by flat per title per meeting rates of $2.00 or $4.00 (depending on the type of meeting), and by occasional assessments for new equipment. Orders are taken at the meeting and other sales result later through regular channels.

During 1947, 27 presses exhibited at 39 meetings at a total direct cost of $9,535. The total number of titles displayed was 6,049 and direct sales were $7,471.

Twice since its first attempt with Shelfward Ho! the Association has sponsored joint catalogues. In 1945, 27 presses issued a selected and annotated list of 469 titles as an aid to Latin American buyers. This catalogue was prepared at Columbia and over 5000 copies were printed and distributed by Yale. The undertaking was repeated on a larger scale in 1947 when, in cooperating with USIBA, a joint catalogue of 617 selected and classified books published by 30 university presses between 1939 and 1946 was prepared, this time aimed primarily at the European market. Again Columbia did the editorial work and Yale printed some 10,000 copies. The collapse of USIBA occurred before the catalogue was ready, but distribution was subsequently effected through various foreign sales representatives of the presses concerned, as well as the Department of State.

At the 1946 meeting of the Association, a reciprocal agreement covering the matter of permission to quote was proposed to the members. At the time of the Survey, 29 members indicated that they subscribed to it. Each party to this Association agreement permits the other signatories to quote from its books without seeking specific permission, provided the quotations are to be used for purposes of illustration or citation. Verse, illustrated matter, and quotations of more than a thousand words or quotations that are complete units in themselves (such as brief stories or essays) are not covered by the agreement. The existence of this reciprocal arrangement has of course saved member presses much time and paperwork.

These were the four most noteworthy cooperative enterprises of the Association up to the time of this study, but perhaps the most conspicuous advantage of membership was the privilege of taking part in the Association's annual meeting. Beginning with the Chicago meeting of 1946 and continuing at the 1947 and 1948 meetings held at Princeton and Berkeley respectively, the members of the Association have had remarkable opportunities to share their experiences in almost every aspect of university press publishing.

This exchange of information and opinion is effected in the main by dividing the meeting into four separate sessions for purposes of discussing specific topics chosen by vote of the members in advance of the meeting, with co-chairmen appointed to lead the discussion. Representatives of member presses participating in each such session constitute a "work

committee" and at the final meeting of all delegates each work committee offers a report summing up its discussion, together with any resolutions or recommendations it may care to propose.

The topics of editorial list-building and foreign trade were discussed by work committees at two of the last three meetings. Production problems were discussed at all three meetings. The choice of topics for work committee discussion at the 1947 and 1948 meetings revealed, however, that the greatest concern was with some phase of the problem of distribution. At the 1947 meeting at Princeton, a dozen or more persons felt a strong enough interest in the subject of accounting procedures to hold an informal work committee session— out of which, incidentally, came the suggestion which led to this Survey.

These features of the annual meeting of the Association might not be so unusual were it not for the spirit in which the discussions are approached by the majority of the participating presses. Few groups have shown such willingness to pool information and ideas for the common good, to unite thoughts and counsels, to share hope and hazard. With this willingness to cooperate goes a desire to learn from the other fellow, and an ability to take advantage of his experience, which makes this unique among publishing associations.

Regular membership in The Association of American University Presses is, according to its by-laws, "open to any university press in the United States or Canada which is officially connected with an American or Canadian college or university and whose publishing activities are, in the opinion of the Association, sufficiently well-established to justify membership in the Association." There were, as has been shown, 35 regular members of the Association at the time of the Survey.

Affiliated membership is "open to a limited number of university presses of other countries and to nonprofit-making organizations and foundations whose interests are, in the opinion of the Association, closely connected with the work of university presses." At the time of this study, there were three such affiliated members, bringing the total membership to 38.

It is possible that the size and scope of the Association has reached a point where an application form would be desirable in connection with regular membership. If adopted, such a form might contain questions pertaining to the number of publications undertaken during a given period by the applicant

press, whether books, periodicals, or series, the volume of net sales during the latest fiscal year, the size of the organization in terms of full-time employees, and a description of its program, with specific reference to the services rendered to its parent institution. Conceivably, a statement of purpose should be solicited also from the parent institution's responsible officers.

If the Association is to expand its cooperative activities, two projects suggest themselves. The first was mentioned in Chapter XII where the advantages of a periodic comparison of operating figures was cited. Both the American Book Publishers Council and the American Textbook Publishers Institute have recently undertaken to prepare such studies annually for their members. It might be seriously considered whether The Association of American University Presses also should attempt to gather such statistics on a yearly basis. Possibly these three publishing groups would find it to their mutual advantage to carry out under joint auspices a single annual study broken down into as many components as seemed desirable.

The second project which may merit the attention of the Association is the preparation of an annual joint catalogue of the publications of all its members. Such a catalogue should be arranged according to subject, rather than according to press, since the latter is already effected by many presses through the R. R. Bowker Company's newly indexed Publishers Trade List Annual. Sixty per cent of the bookstores covered in Chapter XI expressed a definite interest in such a project, a number of them warmly. Several librarians informally expressed like interest. The most productive use of such a catalogue, however, would undoubtedly be by direct mail to scholars and teachers. Almost without exception, faculty members to whom the idea was broached indicated enthusiasm at the possibility of being able to size up in one place all the leading university press publications in a given field during a given period.

Cooperative selling is discussed frequently among university presses, but seems unlikely to prove feasible as an Association undertaking. At the 1947 annual meeting, Norvell B. Samuels, Sales Manager of the Princeton University Press, was requested to circulate a questionnaire designed to find out how many presses might wish to band together to retain one or more salesmen to sell their trade titles in a given territory. Only 21 members replied to the questionnaire and eight of these answered that they were otherwise represented, were

too small, or published few or no trade titles. Several of the replies from the 13 interested presses expressed warm interest but the data furnished on their average number of trade titles published per season and their estimates of trade sales expected from each territory made it clear that the volume of business handled annually by these presses at that time could not support for long a joint selling enterprise.

This evidence, coupled with the demise of University Books, Inc., suggests that joint selling remains a project in which only the smaller and newer presses are urgently interested. Several such presses had retained at the time of the Survey the services of a commission organization specializing in university press representation. They may have discovered a satisfactory solution.

Finally, there is the question of whether the time has come for the Association to establish an office with a full-time secretary. To date, the organization has exacted only nominal dues from its members and has depended on the volunteer time and effort of its officers for management of its affairs. The Educational Directory and the joint exhibit program are supported financially by those members who use these services, and who pay accordingly, in the form of extra dues and assessments, as well as service charges. The University of Chicago Press has necessarily borne much of the day-to-day responsibility for the management of these two projects. Special assessments are necessary for special projects, such as the joint Latin American and European catalogues, and for the annual meetings.

A modest office manned by a capable secretary might achieve the following: 1) relieve the president and secretary-treasurer, particularly, of some of the inevitable yearly paperwork; 2) follow up the many excellent ideas which come out of each annual meeting but which sometimes are lost because busy press executives lack time to pursue them; 3) become responsible for the continuing supervision of the established cooperative ventures of the Association; 4) provide a centralized opportunity to launch new cooperative ventures; 5) assist the officers and host press to plan the annual meeting; 6) serve as liaison with the secretariats of related groups, such as the American Book Publishers Council, American Council of Learned Societies, American Library Association, American Booksellers Association, etc.

The expense of such an office, even a modest one, would obviously mean raising the present dues of the Association and this in turn immediately raises the question of how much the traffic will bear. This is not only crucial to the smaller presses but to many of the larger ones which pay dues to the American Book Publishers Council as well as to their own Association. The ten presses which belonged to the Council in 1948 paid dues to that organization amounting to slightly over thirty times the dues paid their own Association. Yet many of these presses believe that their interests and the interests of university press publishing in general are served by membership in the Council. This would indicate that some formula must be found to make it possible financially for them to continue Council membership as well as to participate in any plans for an expanded Association.

XVII. New University Presses

"The White Rabbit put on his spectacles. 'Where shall I begin, please, your Majesty?' he asked. 'Begin at the beginning,' the King said gravely, 'and go on till you come to the end; then stop.'"--Alice's Adventures in Wonderland

It will be remembered from an earlier chapter that eleven members of the Association were established between 1936 and 1945, and that another press resumed operations in that period. Thus a third of the membership was no more than a dozen years old at the time of the Survey.

During 1948, the president of the Association received more than 50 inquiries from institutions in connection with new or reorganized presses and the director of the Survey received at least a dozen. Of the ten largest universities in the United States at the time of the Survey, four lacked full-fledged university press organizations: Indiana, Ohio State, Northwestern, and Texas. So did one of the oldest universities in the country, Virginia. All five of these institutions had such projects under consideration, however, and properly so. Some of these plans constituted revivals of earlier efforts, some of them called for expansion of existing facilities, and some of them represented brand-new endeavors. Local publishing stimuli were also at work at other institutions, among which at least six had publishing enterprises in train at the time of this study: Arizona, the College of the City of New York, Denver, Florida, Miami, and Utah.

"Why a university press?" Harry Miller Lydenberg had asked in 1937, and had then gone on to reply, "Well, for one

thing, if Siwash starts a press good old New Hope has to follow, just for that. A press becomes as essential an instrument of education as a stadium or a swimming pool. That's not so flippant as it may seem. A healthy rivalry is stimulating for every thing we do, and unlucky is the man or institution without some kind of measuring rod to stir up new ideas or to give warning signals that danger of stagnation is near."

There were other reasons besides rivalry or the imitative instinct, as this report has demonstrated, and most of them were laudable ones. The motives of at least one of the institutions mentioned above, and indeed the whole case for the new university press in 1948-49, have been admirably summed up by one exponent:

(1) "We are in a publishing age when learned works of a circulation of a thousand copies or less per volume (and these are likely to include many of the chief learned works of our day) are not sound financial investments. The contraction of the learned publishing facilities as our publishing adventurers move into the 100,000-run field would not be detrimental to learned publishing if it sliced off the lower fraction with respect to merit. The opposite is the case, however. Only a casual observation in a community such as this shows the triumphant emergence of the Eager Beaver and the submergence of the real thinkers into the monographic fens of the learned journals.

(2) "The stimulus to book production is, in fact, one of our few antidotes to the feeling of the specialist that only his dozen fellow specialists need be able to follow the barbarous symbolic jargon of his special field. If we force the possible writer of a book into the dubious release of multiple journal articles, we overproduce the mephitic vapours of factitious learning.

(3) "The average academician, for all of his being sometimes an intellectual giant, is a babe in the woods when it comes to commercial publishing.

(4) "Grants from foundations for the subsidy of publications can most intelligently be secured by some person other than the author of a work. Wars and the rumors of wars have worked toward heavy subsidization in our day of the natural sciences; in the support of arts and letters of some future peace-time, the struggle for natural science publication funds might be as serious as the present one for money in the humanities."

The means employed to achieve these praiseworthy ends, however, were not always the most practical ones. "I have talked and corresponded with many administrators throughout the nation," said Joseph A. Brandt in 1943, "whose graduate schools are stirring and who naturally want the imprimatur of their own university to record that growth. Too many, far too many, of these administrators had a false notion of staff required, of losses to be suffered, of the professional side of publishing. They thought first, as a rule, of an agile young assistant professor of English or of journalism with a Ph.D. from Nostalgia University, who might put in his spare time editing such manuscripts as might come in to his office. To these administrators with longings for an Oxford or Cambridge University Press in the inner recesses of their minds I have always replied, 'Don't undertake a press unless you are willing to see it through as a publishing enterprise of equal importance to any other division of the campus. I was once one of those agile young men who was editor, secretary, proofreader, designer, sales manager, and publisher, all bundled into one nervous human package, and I do not recommend such beginnings.'"

Others who had gone through the mill felt the same way. "With a few exceptions," said another qualified hand in 1946, "universities seem to have put the cartful of books ahead of the horse. Having determined upon a book program, the university hitches it to an initial appropriation of ten thousand dollars, hoping that, by a method unknown to the school of commerce or the mathematics department, the means will accomplish the desired ends."

Whether to proceed on a limited basis or to make the full effort from the beginning, was the fundamental choice before any institution contemplating founding a press. This choice was recently laid before one of the institutions mentioned above by W. T. Couch whose advice had been sought:

> "By making only limited additional expenditures, the University could go ahead with a University Press that would operate somewhat along the lines followed in the past. If this should be decided upon, I would suggest as a minimum the appointment of a local person as director on a part-time basis. Perhaps a member of the faculty would be interested in taking on this work if relieved of part of his teaching duties. In addition to the director, the Press should have a secretary and a printer-designer. The printing plant should

be a department of the Press. The director of the Press should be in charge of all University publications except the official ones, which should remain in the Registrar's Office. Mailing and shipping and the amount of work handled by the various bureaus could be determined by agreement. Accounting would be left in the hands of the University business office. On this basis, total annual subsidies of $15,000 to $20,000 would be adequate. If no other changes than these were made, the Press would probably continue as it is now, an outlet for works which other publishers find they cannot handle. A Press established along these lines could perform valuable services for the University.

"But if the University ... wishes to develop a Press able to compete with the best university presses in the country, this basis will not be adequate. A much more ambitious program could be adopted and not be out of line with other work currently being done by the University."

This ambitious program, Mr. Couch felt, would necessitate the following moves on the part of that university:

1. "Removal of legal obstacles to the operation of a strong, active Press.

2. "Authorization of a Press by the Board of Regents on a broad-purpose basis.

3. "Provision of an annual subsidy of not less than $50,000 in addition to average expenditures of $8,900 already being made, and of a capital fund of at least $100,000.

4. "Employment of a competent director, who in turn would be authorized to employ a printer-designer and other staff members, subject to approval of the Board of the Press.

5. "Provision for a building to house the Press and the printing plant."

The wisdom and counsel of three other leading university press representatives was made available to one and all in 1947 with the publication of a small booklet entitled Some Notes on University Press Publishing, containing articles by Rollin D. Hemens of Chicago, Norman V. Donaldson of Yale, and Savoie Lottinville of Oklahoma. The basic requirements of a university press, the facts and figures, and all the considerations which might not occur to the neophyte, are summed up in their admonitions in such a way as to constitute a hand-

book for the uninitiate. The latter will continue to need such admonitions, for the luxury of waste and duplication seems constitutional to American democracy and the impulse to start new presses is not likely to be checked, nor should it be, necessarily. There are too many fine presses among the members of the Association which might never have become so had they not persisted in the face of warnings and doubts.

On the basis of his own limited observations, the writer has concluded that there are six basic elements which contribute to the success of a university press:

1. A governing body of the parent institution which if not actively sympathetic is at least amenable.
2. A university administration which includes at least one high official, preferably the head of the institution, who is an active supporter.
3. A faculty strong enough in certain fields to provide at least a third of the manuscripts to be published by the press.
4. A director of competence and imagination.
5. Funds appropriate to the kind of publishing enterprise which the institution wishes to maintain.
6. A program which goes beyond mere fulfillment of the local needs of scholarship.

These factors are not listed in any particular order of importance nor is it claimed that they must all be present to insure success. A number of presses have won suitable recognition or performed worthy service in the absence of some of these elements. But equally it may be noted that it is only some combination of these which has produced the high reputation achieved by so many American university presses in the past eighty years.

This observer also offers the opinion that no new university press should be undertaken until two or more members of the committee in charge have read every item in the list given below. This is a highly selective list and represents an absolute minimum of required reading. No committee can claim it has fulfilled its duty of exploration until this literature has been consulted:[1]

American Scholarly Publishing by Donald P. Bean.

The University of Every Man by Joseph A. Brandt.

1. See Bibliography for full references.

"Books from Chapel Hill" by W. T. Couch, in Books from Chapel Hill, A Complete Catalogue, 1923-45.

The Function and Organization of University Presses by George Parmly Day.

Some Notes on University Press Publishing by Rollin D. Hemens, Norman V. Donaldson, and Savoie Lottinville.

The Place of American University Presses in Publishing by Robert Frederick Lane.

The Saturday Review of Literature (University Press Numbers of 1943-49).

It is further recommended that at least one responsible university representative of the aspiring institution discuss the matter not merely through correspondence but in person with one or more of the experienced university press managers in the field. These men and women are so located across the continent that to visit them no longer presents any real problem. On the West Coast, for instance, there are Donald P. Bean of Stanford and Samuel T. Farquhar of the University of California. In the Southwest, there are Savoie Lottinville of Oklahoma and Fred Harvey of New Mexico. In the South, Porter Cowles of North Carolina and Marcus M. Wilkerson of Louisiana. In the Midwest, W. T. Couch and Rollin D. Hemens may be reached at Chicago and Margaret S. Harding at Minnesota. A. Gordon Burns is available at the University of Toronto Press. In the Eastern United States there can be found Norman V. Donaldson of Yale, Charles G. Proffitt of Columbia, Datus C. Smith, Jr., of Princeton, and Wm. Warren Smith, Jr., of Harvard.

No one of these individuals has had less than ten years of experience in university press publishing, the average is fifteen, and several have been at it for more than a quarter of a century. It would seem to be only common sense to take their counsel. Otherwise the advice given by the King to the White Rabbit will suffice.

XVIII. Some Personal Opinions

"Everybody talks a lot about the weather, but nobody ever does anything about it."--Charles Dudley Warner

The facts, the figures, and the points of view presented in this report on American university presses speak for themselves. Each of those concerned—the publisher, the educator, the scholar—will interpret the data according to his special needs and in terms of the particular decisions with which he may be confronted.

No outsider could possibly become expert on the affairs of university presses on the basis of a brief investigation. Yet the writer had an unusual opportunity to view this branch of publishing and in accordance with his mandate has not hesitated to formulate conclusions and express opinions throughout the text of the report. Some additional observations and opinions are offered here, for what they may be worth.

One of the basic problems troubling a number of presses is how far to aim its product at the general rather than the learned audience. The answer, it seems to me, has become plain. It does not appear possible to explain the upward curve in the dissemination of university press books during the past decade except by crediting it to the new determination by a growing number of presses to make meaningful and available to the greatest possible number of citizens the best products of American scholarship. This determination I can only praise.

There was no evidence that this upward curve had resulted from a mere desire for commercial success. Every conversation I had, every piece of evidence I examined, indicated that

the publication of scholarly material continues to be the distinguishing characteristic of the American university press. During this last decade university presses assumed an ever larger share of the load of scholarly publishing.

What has happened, rather, is the development of the laudable attitude that the best works of scholarship can, by intelligent and diligent application, be brought to the attention of an increasingly wide audience. This attitude, pioneered by a few and still regarded as heretical by some, has gained its greatest number of converts in the past ten years. Within that period at least seven of the older presses appear to have adopted the view already held by many: that a balanced program of publication is the greatest service they can render, not only to the institutions whose names they bear, but to society at large.

The adoption of this attitude has been made possible in the first place, it seems to this onlooker, by the new professional competence of university press managements. In the beginning, the motive power in university press publishing was supplied by a few far-sighted university administrators, energetic scholars, broad-minded librarians, enlightened alumni, and devoted practitioners of the art of printing, and the incentive provided by such individuals remains today one of the most valuable assets of a university press. Now, however, the moving power has passed into the hands of a new group of professionals, men and women dedicated to the aims of scholarship but also trained in the techniques of publishing.

It has been made possible, too, by the growing realization on the part of wise university administrators that properly managed, suitably authorized, and adequately supported, a press can be one of its most valuable assets, not only to reflect its prestige but to further its fundamental obligation to spread knowledge far and wide. The discerning among these educators have learned that they cannot fail their presses financially. Sources of extra income, such as printing plants and bookstores, the support received from endowments, the individual contributions made to the cost of individual books, all help pay the bills. Over a period of years—and I cannot lay too much stress on the fact that it takes years—a press can increase its self-sufficiency, especially if it is skillfully managed. But so long as a press maintains its standards, it is going to need financial assistance and the bulk of that assistance, in my opinion, has to come from the parent institution, directly or indirectly. With a very few exceptions—the results of special

good fortune—this has proved to be true again and again, and it is hard to see how it could have been otherwise.

There is one more reason why the adoption of the attitude described has been made possible. It has been mentioned earlier in the report and needs only to be underscored here. I am referring to the increased attention by commercial publishers to mass markets, a position forced on them by economic circumstances, and the consequent shift to university presses of the responsibility for the publication of many "unprofitable", or less profitable, serious works of non-fiction. In a Jeffersonian democracy, there is always a demand for such books and it seems to me that the university press has learned how to publish them effectively and even in the long run to make them "profitable."

Do commercial publishers resent sharing with university presses the area of publication which has become increasingly common to both? A number of informal inquiries produced no real complaints. On the contrary, the responsible trade publisher who is gravely concerned over the curtailment in the number of limited-audience books which he can afford to bring out appears to welcome the growth of the university press and in many instances has lent encouragement and advice.

This brings me to another point which I think deserves emphasis. Because the university press has become an effectual publishing house, its interests have become aligned with those of the "book industry" at large. To a growing extent, the university press uses the same machinery for the production and distribution of books as its brother in commerce. The vigor of these facilities has therefore become the concern of the university press.

A few specific observations may be in order. They will be offered in accordance with the topical plan of the report.

1. No one concerned should forget that the university press is a comparatively recent phenomenon. Only three presses were successfully established before the turn of the century and more than two-thirds of the members of The Association of American University Presses are less than thirty years old. The fact of youth, which implies change, needs constantly to be kept in mind in any consideration of the university press and its problems.

2. A number of presses, I noticed, are inclined to regard commercial publishers as superior beings. This was the more

evident the further the presses were from New York. Yet I could find no real reason for it. The staff members of many presses visited know just as much about their jobs, and sometimes more, than do the wage-earners of Madison and Fourth Avenues. Representatives of presses nearer New York can testify how frequently the king can be found naked.

3. I was struck by the fact that the university press committees or boards which appeared to serve most effectively the purposes for which they were created were made up of individuals selected on their merits as individuals and not on the basis of departmental representation. I also noticed the value of continuity provided when the board is self-perpetuating or its members are customarily re-elected. A group whose members have served together over a long period of time come to know each other and the press management, and to learn something about the operations of the press to a degree which increases measurably their value to the enterprise.

4. I was impressed also with the way in which some presses were making every possible effort to keep their faculties posted about the press and its publication. These presses overlook no ways and means of seeing to it that every member of the university community is made aware of the existence, the program, and activities of the press. The visitor keeping an appointment with the President of Princeton University, for instance, passes through an ante-room containing a ceiling-high bookcase of Princeton University Press books. One copy of each new publication is sent to the President at his office and sometimes a second copy to his home. The effect on the visitor is impressive.

5. In this same connection, some press directors meet occasionally with faculty members for group discussions of publishing problems. The suggestion has been advanced that an annual lecture by the head of the press, perhaps for graduate students and instructors, might serve to acquaint younger members of the academic community with the facts of life about publishing, as well as supplement the information and advice they often get from each other.

6. The recommendation that a move be made toward improvement of author contracts, perhaps through greater standardization, is repeated here. Perhaps an Association committee should be appointed to explore the matter.

7. I would like to emphasize what was said earlier in the report about the pride most university press directors take in

their profession by relating a story told by the Dean of the Graduate School at the University of Oklahoma. Three masons were asked, "What are you doing?" The first said, "Laying bricks." The second responded, "Earning two dollars an hour." But the third answered, "Building a cathedral."

8. During the past winter one director has conducted a weekly seminar on the broad economics of publishing for members of his staff, which has proved extremely successful in acquainting them with the overall picture.

9. I found no instance of a press following standards in the selection of manuscripts which were inimical to the precepts of its parent institution.

10. For those concerned with manufacturing costs, there is food for thought in the appended report by Henry M. Silver on modern non-letterpress methods of reproduction.

11. In taking the road toward general publishing, the university presses have adopted certain trade techniques in regard to advertising and promotion. It is not enough, however, merely to imitate trade publishers. University presses are pursuing original aims and these call for original methods. The fact that a commercial publisher follows a certain practice does not necessarily mean it is a suitable or desirable one for a university. No press should hesitate to follow the lead of greater experience but imitation should never be practiced for imitation's sake. The press should make certain that the technique is really one which suits its particular aims and organization.

12. It is not enough for university presses to retain the services of commission salesmen who do no more than take orders. The list of a university press still requires the services of a propagandist.

13. The resistance, or apathy, of booksellers to university press publications appears to have been overcome in many instances in recent years, largely because of the improvement in the product and also because of more effective sales representation. One branch of bookselling which needs to be developed by university presses is the college stores. As everyone concerned is aware, far too few university and college bookstores carry trade books. University presses by themselves cannot persuade these stores to change their ways, except in isolated cases, since the volume of business offered is not large, but they can join with trade publishers to encourage this important group of middlemen.

14. Raising the discount usually means raising the list price of the book and should not be done just to satisfy the bookseller. University presses have lately been prone to call certain books "trade books" and to grant "trade" discounts when neither designation nor discount was warranted.

15. My views on accounting practices were scarcely concealed in the chapter called "Keeping the Records." I am aware that this problem is an individual one and that each press must make its own way. I can only express the hope that this last citadel of "professional amateurism" among university presses will soon fall.

16. Birth control and euthanasia are probably no more desirable or feasible when applied to periodicals than to university presses, yet I would urge those concerned to consider carefully how valuable a service is performed by any given publication.

17. No onlooker can fail to be impressed by the role performed in university press publishing by The Association of American University Presses. From its informal beginnings, this organization has grown into a unique instrument for exchanging information, trading opinions, stimulating new points of view, and cooperating to serve mutual interests. It has also proved to be a valuable vehicle for the expression of a united opinion on matters affecting the welfare of university press publishing.

To conclude this report, I would like to draw once more on the words of two leading spokesmen for the field, this time to stress the deep conviction that the university press cannot function without relation to the state of the Union and of the world.

"Our American university presses have no propaganda to push," said George Parmly Day thirty-five years ago, "but in their lists are to be found many works which if widely read and discussed would give to our democracy the broad knowledge necessary for understanding and intelligent decision."

This view has been carried forward by the new generation of university press publishers, for whom Datus C. Smith, Jr., spoke in 1949: "If American university presses should be able to achieve in the next ten years an advance in any way comparable to what they have done in the last ten, that would be an important contribution toward closing the most dangerous gap in our national structure--the gap between knowledge potentially useful and knowledge put to work."

Appendix

New Techniques of Specialized Publishing*

THIS PIECE is an attempt to evaluate for specialized scholarly publishing certain new printing devices which are appearing, or will appear, on the market.

Few of these machines are yet for sale, and for that reason a good deal of what follows is conjecture. The writer attempts to be as noncommittal as possible, not only because of this but because there are already too many fixed opinions about printing technics. Either these devices will work, or they won't. Prejudices against them, or too rosy claims for them, will mean little except to confuse the picture and retard the acceptance of possibly useful objects.

The end in view is, of course, a cheaper book. There are other useful roads toward cheaper specialized books, like rationalization of editorial processes, or by more efficient use of existing printing machinery, or by persuading authors to be terse, or by the adoption of standard format. This paper simply discusses one way, without denying that others may exist. As a starter it will attempt to define its problem.

There is nothing new about the search for more functional printing and publishing methods. If the need is more desperate today than ever, that is simply due to the sharpening by time and circumstance of two forces noted by all commentators — the narrowing audience for ever more specialized scholarly books, and a trend in printing toward expensive mechanization, both the cause of, and the result of, higher labor costs. A capital example of this is Intertype's Fotosetter, a device which incorporates the camera within the composing machine, thus eliminating the problems of perfect proofs from metal type, but which, in so doing, creates a machine so costly that its benefit to small edition publishing is open to question.

*A Study by Henry M. Silver.

This study is a successor to a previous report directed by the late Robert Binkley and published, for a joint committee of the Social Science Research Council and the American Council of Learned Societies, in an edition of 1500 copies in 1936. It went out of print in 1946. Binkley's Manual of Methods of Reproducing Research Materials deserves very close reading today, not only because most of his deductions are as fresh as ever, but also because the degree to which his ideas have not been put to work form a clue to the obstacles any subsequent effort should avoid.[1]

Binkley conceived of printing technics as forming a continuous body, ranging from microfilm to letterpress. In each technic there was an optimum economy point which could be arrived at by determining first cost and then dividing that cost into the probable edition. Second cost, or the cost of all copies after the first copy, could thus be isolated. It was obvious that, esthetic reasons apart, to do an edition of two by letterpress would be ruinous, but very practicable by microfilm; equally obvious was the fact that to prepare an edition of 5,000 by microfilm would be ruinous, though in most cases highly desirable by letterpress. In between ranged all the other processes. Professor Binkley concluded that subsidies were obsolete, indeed the request for a subsidy was an admission of mismanagement. He excluded completely from his conclusions the esthetic factor and thought of scholarly printed communication as a problem readily solved by the scientific approach. This turned out to be a considerable over-simplification.

Not that his ideas had no effect. To the exact contrary. A group of disciples took fire from his vision and are today hard at work in laboratories and libraries. But his labors have had unequal application to letters. Within the Natural Sciences, Binkleyism fell on fallow ground. Within the Humanities it has had little result except in the field of documentary reproduction. Within the Social Studies its effect has been mixed. The natural scientist wants information, all of it on a certain subject, and now. If punched cards will give it, good for punched cards. The humanist wants a book, preferably a good looking book, and best of all, a good looking book he can take home if he wants to. He tends to think of everything produced on the mimeograph, regardless of how fat, as "reports," and all books

1. Attention is directed to a forthcoming book in the Binkley tradition, The Printing and Promotion Handbook, by Daniel Melcher, to be published about June, 1949, by McGraw-Hill.

within paper covers as "pamphlets." He intensely dislikes reading machines and complains about his eyes.

The result is that the natural scientist is getting what he wants with ever-increasing efficiency.[2] The humanist is finding his books more expensive and — this is beginning — more likely to fail of publication because returns and costs grow daily further apart.

The failure of Binkleyism in the Humanities is quite simply explained. Substitutes for traditional printing methods have simply not (to date) measured up esthetically. In the blood and bones of the humanist, and his publishers, is the concept of a book not merely as a tool but as an object valuable for itself. That being the case, this study will confine itself solely to considering what technological advances there may be within the printing industry which promise cheaper books without disastrously disturbing established esthetic standards.

This rules out mimeographing, etc. It means a justified page, a printface type, scholarly apparatus, and a decent binding. No use saying "but a justified page means more expense." We conclude from the preceding paragraphs that we must be practical rather than functional; our object must not be the cheapest possible, but rather the less expensive. A report like this can afford an irregular margin, but apparently not a book put up for sale to humanists — not yet.

What is a specialized scholarly book? It is by definition a work addressed to research around a single subject, either as a tool for, or as result of, that research. It is a monograph, a study; often it is a dissertation or the child of a dissertation. Whether it be good or bad, it is addressed to other specialists, usually few in number. The average printing is 1,000, a quantity which often turns out to have been optimistic. It usually involves difficult composition, and always involves the apparatus of notes, reference marks, etc., ad lib and often ad nauseam. The book thus described will earn a printer's bill in which composition is at least 50%, and sometimes as much as 75% of the total. To the reduction of that composition bill attention is largely drawn. All suggested methods of doing this lead to an end product printed directly or indirectly from film rather

2. The establishment at Massachusetts Institute of Technology of a Center for Scientific Aids to Learning, under a grant from the Carnegie Corporation and with the supervision of Dr. Vernon D. Tate, Director of Libraries at M.I.T., will enhance this pleasant fact.

than metal, except for direct-image lithography and the possibility of direct-image xerography. These will be discussed later.

Since we are not discussing the micro-technics here,[3] printing from film means printing by offset; gravure or collotype must be excluded, except as illustration processes, for different but substantial reasons.

Taking, then, composition as the target and the offset press (large or small) as the background, by what means does the changing technology of the printing craft propose to lower costs? At this point let it be admitted that much which follows is speculative. Few of the devices which in five years will be commonplace (or proved useless, perhaps) are out of the testing stage, and one or two are not yet at that.

Three general groups of devices are emerging. One adapts mechanical contrivances already familiar to us and, by

3. The micro-technics should gain a word down here. They have fissioned into microfilm, which in this country has come to mean a continuous strip of 35 mm, non-perforate, acetate film with reductions up to sixteen diameters, and microcard, which is a white, sensitized card printed from a film negative. Both must be read in a machine, the former by transmitted, the latter by reflected light. Microfilm has greater distribution, both for familiarity and for dispersal of reading equipment. It has been largely employed for documentary reproduction. Microcard has narrow application to date but its own persistent supporters. Within the microfilm field there is need for a general agreement on standards; there is some danger of several kinds of microfilm competing with each other — permanent vs. semi-permanent; relatively expensive but good vs. relatively cheap but "good enough"; high reduction vs. low reduction. Over everything there hangs the question of whether or not to increase the reduction factor markedly, say to forty or more diameters. This is technically possible and could lead to layouts which avoid some of the difficulties of the present continuous strips. But it would also mean the re-equipping of libraries with reading machines even more expensive than those now used. For further information about microfilm the reader might write Mr. Eugene Power, University Microfilms, 313 N. First Street, Ann Arbor, Michigan. About microcard he can inquire of Mr. Fremont Rider, The Microcard Foundation, Middletown, Conn. Also see Library Digest, March, 1949, p. 361. For continuing information on this subject, presses and libraries are urged to subscribe to the forthcoming American Documentation. Dr. Tate will be the editor, and subscriptions should go to him at the Massachusetts Institute of Technology, Cambridge, Mass. Readers of this piece should note that low reduction also has its adherents and virtues. This involves miniature (but not micro-copies, printed on paper either by offset or by film contact.

substituting a beam of light for hot-metal casting equipment, produces negatives or transparencies which can then be stripped up for plates to fit any printing process, but which will almost certainly, in our field, stress offset. Here we have Fotosetter and Rotofoto. At this writing both are under wraps, especially Rotofoto, no model of which has been brought to America. Fotosetter is a standard Intertype up to the point where the modified matrices perform their function of producing a continuous film. Rotofoto similarly uses a Mono-type keyboard and caster, but from there strikes out along a somewhat different route, arriving at reductions on 35mm (or, at a future date, possibly 60mm) film, which are then enlarged to the wanted size after passing through a make-up and correcting machine.[4]

Both machines are certain to involve considerable capital investment, unless they are rented rather than sold. This is a possibility. Of course expense is a relative factor. But it may be queried whether the type of printing house which will go in for $25,000 composing elements will view with pleasure press runs of 1,000 copies. That in theory these devices promise well for scholarly typesetting is largely due to their ability to vary character size without changing mats or collating film. But the capital investment problem remains. A $25,000 device depreciated over ten years and worked 35 hours a week will depreciate at more than one dollar an hour.

The second group of new devices for composition includes both old and newer typewriters, variously adapted. All deliver proofs on paper, ready for the camera after corrections. All use a variably-spaced, printface type. All can justify that margin. One sub-group consists of the IBM Electromatic, already widely distributed, and the forthcoming Justowriter, a machine which connects two IBM typewriters by a coded tape. The other sub-group is the DSJ Vari-typer, a radical adaptation of the familiar and also widely distributed standard Varityper.

The IBM proportional spacing typewriter is familiar to everyone. It is very good; and very limited. The makers appear to pretend that it is office equipment only; perhaps that is why the type faces have been so poor. Four such faces are now available, with six more promised, and perhaps these will

4. Those wishing more information can refer to Printing Magazine, March, 1948, page 46, for Fotosetter, or, if you can get it,"Who's Who in Intertype," May, 1948; and to The Inland Printer, February, 1949, page 42, for Rotofoto.

be better. Those now available should be sharply reduced when photographed. Justifying is a manual operation and requires, as do they all, a second typing.[5] Characters are restricted to those which the standard typewriter normally offers. If italics, or superior figures, or special characters are needed, they must be struck in or pasted in later, or typed with special characters which, of course, displace some of the standard characters.

It may be stated categorically that to process any sheet of paper twice through a typewriter, or through two or more typewriters, will increase the cost of composition for straight copy past the competitive point. Thus the use of IBMs disqualifies the adding of large numbers of special characters — special, that is, to the IBM — by striking in. However, an IBM can be usefully concerted with a Vari-typer if pages are made up after typing. The attempt always to go into page form will waste more time than it gains. It would be better never to do so, than always.

Justowriter is scheduled for the autumn of 1949 at a price around $2,000 (or possibly at rental). Machine number one cuts a tape; number two automatically retypes from the tape justifying as it does so. Number one permits the deletion of any lines perceived to contain an error before the tape is cut. The tape therefore is free of most printer's errors. Number two appears to operate at about twice the speed of manual typing; it should therefore be possible to use fewer "casters" than "keyboards." The writer thinks highly of the possibilities of Justowriter. But we shall still have a product without the italics, superior figures, etc., so dear to scholarship and to good design. Perhaps the breadth of the keyboard can be increased on both "keyboard" and "caster" machines, but any plans the makers may have of doing this are subordinate to the next step — marketing the present device.

5. Not entirely true. Mr. Joseph Spielvogel of the Joseph S. Vogel Co. has modified a typewriter so that his crimped tape is automatically stretched to the required length and then simultaneously cut off and affixed to a continuous backing sheet. It is not yet for sale.

Probably the reader does not need to be reminded that it is possible to avoid a second, or justifying, typing if the manuscript has been prepared so that the operator can measure reasonable shorts and overs without a trial run. With the proper use of pre-ruled manuscript paper, agreed-upon procedure, and some such device as the Edison Marginator, the cost of producing that margin with an IBM machine can be cut deeply. (For Marginator, write The John S. Edison Co., 1517 North San Fernando Bld., Burbank, Cal.)

An inviting field for Justowriter will be its application to the preparation of direct-image offset plates for baby presses. The bane of the direct plate has always been corrections; Justowriter should be a handy way of avoiding most of these.[6]

Vari-typer DSJ is the only present means of getting a print-face type in various sizes and shapes. It is based on the point system of composition, spaces characters reasonably close to their width requirements, and justifies (as a second immediate typing) semi-automatically. In addition it has its ancient virtue of character substitution. At this writing it is ill equipped for scholarship's more intricate problems, available fonts being few in number and accents and special characters entirely lacking. The Coxhead Corp. is on record as being anxious to fill in these gaps, however, and may do so soon. The machine is considerably slower than the IBM, since, although electrically controlled, it is manually operated. Vari-typer has always been an odd device, in that its possibilities have rarely been fulfilled in practice, perhaps because of the ease with which the machine can be encouraged to do poor work. It is capable of good work, if properly handled. The manufacturer is not well advised to market it as office equipment which any typist can operate efficiently after a little practice. It takes many weeks to teach a typist how to produce first-rate composition on the Vari-typer, although anyone can produce inferior proofs after a few hours. As things stand today it is the only typewriter composing machine on the market which can deliver the kind of composition the scholar demands, or will be, when the manufacturer provides the proper types. As the Survey closes for press, not even French accents are available in DSJ mats, much less symbols and foreign alphabets. The Coxhead Corporation will be ill-advised if it avoids this matter and meets its competition on the ground of straight composition only.

The third group of devices is a group simply because the machines involved, while very different from each other, use actual printer's type designs. One elaborates the mechanical to achieve this; the other, the electrical. Lithotype, a product of the Fairchild Camera and Instrument Co., of Jamaica, New

6. Information concerning Justowriter can be secured by writing Mr. Frank DeWitt, Director of Graphic Research, Commercial Controls Corp., 1 Leighton Ave., Rochester 2, N.Y.

York,[7] consists of a typewriter keyboard reinforced with selective spacing keys. Depressing a character key actuates two revolving drums into which Monotype sorts have been inserted. When the proper character arrives opposite the striking position, contact is made and the character is printed on paper. Justification is achieved during a second typing by means of a spacing gauge from which the selection of proper word spacing is manually arrived at. Lithotype will perform either on paper or on direct-image paper offset plates. Any operator of an Addressograph Graphotype will be at home with Lithotype, since feel, sound and rhythm are like those of Graphotype. Too much cannot be hazarded concerning its production rates or its maintenance factor.

The other device in this group is a machine invented by Messrs. Rene Higonnet and Louis Moyroud, and which is being developed under the sponsorship of William Garth, the President of the Lithomat Corporation at Cambridge, Mass. This truly impressive machine consists of a standard typewriter keyboard with a built-in memory system. By means of the keyboard, controlled and assorted impulses are sent to a constantly rotating matrix. Characters print from the matrix upon a film (as either negative or positive) by action of a stroboscopic beam of light. In between the keyboard and the matrix is a series of electrical resists, counters, and sorters, the task of which is to assemble and rectify spacing information, and to give both the characters, and the lines into which the characters assemble, their proper and prescribed space. In this manner automatic justification of lines is accomplished. The operator sets the line; only when he activates a key is what he has just set transmitted. A proof of what he sets is simultaneously provided by typewriter action; except for this function, it is extraneous to the operation. If an error is made it can be repaired before the line is transmitted. The next line can be set while the machine digests and prints the previous one. Great elasticity is inherent; sizes can be varied within limits without changing the matrix. This matrix is removable. It carries within its four quadrants more than five hundred characters. Since the information sent to the matrix

7. Write Mr. Dudley B. Hollister, Graphic Arts Division, 88-06 Van Wyck Bld., Jamaica 1, N.Y. Mr. Hollister is also the source of information concerning Fairchild's new and interesting electronic halftone engraving machine.

can be superimposed with other information, diacritical marks and music can be handled at one setting.[8]

Obviously if this machine, faithful to good design and yet elastic in operation, can be produced to sell or rent at a reasonable price it will be of interest to those whose job it is to get cheaper composition without deflation of standards, especially since the machine apparently addresses itself readily to composition problems which metal types solve with difficulty. The question will be how economically the designers can translate into production models the pilot machine which has already taken shape.

Here, then, are some of the machines which will attempt to deliver cheaper composition to specialized scholarly publishing. They represent a group about which there has been considerable controversy, from talk about the coming revolution in printing to denials that such a revolution is in sight. Are there any statements which can safely be made about them; and, if so, can we then go on to some reasonable assumptions? First we had better figure out some production rates in order to discover what composition from these devices is likely to cost. Printing buyers have been amazed by the cost of justified typewriter composition; $5.00 a page and up is sometimes demanded — a figure obviously fantastic. But present prices mean little. Except for the IBM Executive model none of these machines is in general use; indeed, as has been seen, only two of them are available. Most Vari-typer DSJs have gone to newspapers, whose major preoccupation has been to get an issue out at all, much less one typographically correct. Lettershops sell time and convenience rather than price. Only a handful of offset shops have persuaded themselves that the plunge to typewriter composition must be taken. And there are few typewriter composition houses which can yet compare in size and efficiency with a good metal composition shop. Most of the figures given in the next paragraph came from personal observation and have been checked against the confidential records of a leading metropolitan daily which, in anticipation of a strike which never came off, went into typewriter composition on an experimental scale beyond the power or desire of any printing house except possibly the GPO.

8. A photo-composing machine taking shape at the Huebner Laboratories, New York, appears to use somewhat similar principles. No evaluation of this machine is yet possible.

Taking the most standard offset press size, and subdividing toward octavo, we come to a page size 5 1/2 x 8 1/2. Consider this for a type page 25 x 42 picas over all, or 40 lines of composition adding up to about 390 words. Em measurements are not exact for the basic thirty-second of an inch units used by IBM and DSJ for character spacing. If straight English without special characters be the copy, one page of justified composition each half hour should emerge. IBM will do the first typing more quickly, DSJ the second typing for justification more quickly; the net result should be about even between the two.

Let us assume the operator is paid $50 a week for IBM and $60 a week for DSJ. Let us further assume that the machinery is depreciated over a five-year period; that supplies run about ten cents an hour; and that supervision, proofreading, correcting and makeup total fifty cents a page. Our composition without overhead or profit thus costs about $1.40 a page for IBM, $1.70 a page for DSJ. Justowriter should reduce the IBM page cost to about $1.30, if enough machinery is grouped so that the printing end of the operation efficiently services double the keyboards and half the labor. This would mean three keyboards run two shifts, two printers, six compositors and one machine tender. No prediction as to the costs and production rates of any of the other machines can be made.

There is no use laboring these estimates for straight composition. The reader can deduce for himself whether or not they disclose economies. The main point is that specialized scholarly books rarely have straight composition. At the very least they call for superior figures, groups of quotations, notes in eight point, etc.; at the worst they call for yards of tables and masses of symbols. It is not difficult to demonstrate that the IBM can compose tabular material more cheaply than a slug composing machine, or that Vari-typer (if the characters be made available) can more cheaply compose odd languages or the formulae of the natural sciences. In between the extremes of straight English and astro-physics where is the economy factor? Most of our work lies in that area.

The following may be stated:

1. For absolutely straight composition it is extremely doubtful if available typewriter composition competes favorably with metal slug composition, except in metropolitan areas. After all, it must be a good deal cheaper in order to compete.

2. On the other hand, tabular or scientific composition is cheaper from typewriter composing machines.

3. In between these two points the composing typewriter becomes more economical than metal composition in proportion to the increase of difficulties within the copy.[9]

4. If a non-profit organization such as a university press were to establish a typewriter composition room and run it efficiently, the manufacturing costs of monographs, studies, dissertations — all specialized scholarly books not printed as works of art — could be markedly reduced.

5. Scholarly associations will do well to ask themselves, before they acquire a justifying typewriter, if they can, after a breaking-in period, use the machine a minimum of twenty hours a week, fifty weeks a year. If they cannot, they had better, in the case of specialized and difficult materials attempt, by a co-operative effort, to persuade some university press to establish a typewriter composition department which will serve both the university and the associations. This presumes that the university press maintains a printing office, or at least some sort of university printing service, run at cost.

6. It would appear that present technological trends are in favor of composition from other than hot-metal machines. Devices not yet on the market will speed up the production of justified printface proofs. Type faces will be improved, although not necessarily along traditional lines.[10]

7. For production of the kind of technical book or periodical which today is printed from type, tomorrow the offset press will be standard.

8. Available typewriter composition devices should be used either in considerable mass or singly. In a mass, full advantage can be taken of opportunities to standardize and simplify procedures and supervision. Singly, a machine can occupy space already paid for and, except for the operator, requires no supervisory time beyond that already available on the

9. A comparison of how this works out when buying commercial typewriter composition was recently made. Two scholarly MSS were estimated for such composition plus offset presswork, and by other methods. The first work contained no problems of any kind; and the estimate of a good letterpress printing house was 20% cheaper. The second work involved special symbols and a non-roman alphabet in some of the quoted sections. The advantage enjoyed by typewriter composition (DSJ) and offset over metal composition plus offset was about 30%.

10. By all odds the best DSJ typeface (except in 12 pt.) is the forthcoming Sans Serif.

payroll. It can serve the needs of a scholarly association for the preparation of its periodical, its monograph series, its membership lists, or its reports of research in progress. An operator paid an annual salary of $3,000.00 for a 35-hour week, fifty weeks a year, should produce 1,500 to 2,500 pages of justified, corrected, and made-up pages, depending on the inherent difficulties presented by the copy. Machine write-off, plus interest for the money invested, plus machine supplies, will bring the total cost to $4,000.00 a year. By division we arrive at $3.25 a page for very difficult work, or $1.60 for straight copy, and in addition we have a dependable source of composition. This last consideration should not be lost sight of. The sources of small edition, scholarly printing of the most professional sort become fewer all the time as printers, because of technological and other developments within the industry, turn more toward longer runs for their bread and butter. It is entirely possible that the research association may find itself pushed into radical methods of type composition willy-nilly.

Developments which might be reported under the general heading of Presswork do not seem to arrange themselves into any unified pattern. The post-war presses are doubtless a great improvement over their predecessors, both in speed and in servicing. But when your impressions number 1,000 or 1,500, it makes little real difference whether the press runs at the rate of 3,500 or 1,750 impressions an hour. Other factors enter into the job more directly. Two new processes should be briefly mentioned. They are Xerography, and the electronographic press designed by William C. Huebner. Neither is available in commercial form at this time. Each uses electrostatic transfer of pigment from plate to paper.

In Xerography a latent electrical image is developed through the adherence of a colored rosin to those portions of an exposed plate which have retained a static electrical charge. The charge, which is built up on the surface of the plate by means of a corona discharge machine, is dissipated by light. The greater the light, the greater the degree of dissipation. A full-tone printing process is thus made possible. Only line work is practicable in the present stage of development, however, since the tones now obtainable seem contrasty and streaked. After the paper has been printed, the rosin which it has received from the plate must be fixed, either by heat or chemical

fixative. Since the process dispenses with pressure it largely dispenses with weight. A very high speed can theoretically be obtained. All of this is to be understood as potential rather than actual; only one Xeroprinter, and that primitive is in existence. While no mention of this has been made by the manufacturers of the Xerograph, one must speculate about a possible direct-image use of the process. A plate which has been prepared by a typewriter composing machine might forthwith be placed upon the press.

The writer has no grounds for judging the future of Xerography or, if it has a future, how distant it may be. The trials have been impressive, and the direction in which the process moves would seem to be consistent with a developing trend away from the mechanical and toward electronics and optics. Since Xerography can print anything capable of being processed, it should not be long before we know more about it.[11] If a guess can be hazarded it would seem to be the office duplicating field into which the Xerograph would first make entry.

The Huebner process involves the transfer of ink to paper without pressure by building up and controlling a negative polarity upon the printing surfaces and a positive polarity on the far side of the paper. The ink migrates. Due to the absence of pressure, it is claimed, weight is reduced, wear eliminated, speed increased, and the printing of half-tones on rough paper or cloth made possible, even by letterpress. The principle can be applied to any process. Little more need be said about Mr. Huebner's process at this time, since the first machine, a small web press, will be delivered for commercial use this summer to a Middle Western printer. The press's very high speed, its dependence at this time on a curved printing surface, and its use of a web rather than sheets, would seem offhand to lift it out of the 1,000 impression class, except possibly in its offset and collotype applications.

Developments in offset, as might be expected, have largely been confined to the steps leading up to presswork, rather

11. Much has been written about Xerography in the trade journals, but the best description is that distributed by the sponsor, The Haloid Company, Rochester, New York. Those interested can write Mr. Thomas J. Liston, Sales Manager. The basic research was performed at the Battelle Memorial Institute, Columbus, Ohio. Dr. J. Homer Winkler is director of graphic arts research.

The Huebner Laboratories are located at 305 East 46th St., New York. See Paper Trade Journal, Vol. 123, No. 1, TAPPI Section, p. 1.

than to the press itself. Available sizes have been multiplied, but the distribution of these sizes is quite different from that encountered in letterpress shops. Scholarly editors, and even some in university presses, sometimes specify printing made up of 6 x 9 pages, apparently oblivious to the fact that the offset house to which the order may go has only 22 x 34 presses. While there are many offset houses, and a growing number of combination shops, there is not that same grouping of facilities around small book orders which we find in letterpress. The scholarly editor who thinks he may have to reprint at some later time by offset should, with this in mind, look narrowly upon the size of the original printing.

The number of presses now available in 17 x 22 or smaller may aid and abet one technic which at first glance does not seem to have much to do with book printing; viz., the paper, direct-image plate. Before the war the Rotaprinter and the Multilith made use of a flexible aluminum plate which was inscribed directly by carbon-paper typewriter, then processed, dampened, inked, and printed from. It had its points, but dependability and evenness of color were not among them. The Achilles' heel of this procedure is the place where an error has been removed. It is difficult to remove the error without removing the surface of the plate and hence its aqueous affinity. With 1942 the metal plate vanished, to be replaced by a highly unsatisfactory paper substitute. But with the passage of time the paper substitute has been stabilized and the reappearance of direct-image metal plates is unlikely. If the present rate of improvement is maintained, and especially if some dependable method of restoring the surface, after an erasure, is developed, it is possible we shall see somewhat more of the paper plate in bookmaking.

The theoretical advantage is apparent. Composition and platemaking are merged. Processing of the plate is easy. Makeready is a matter of building up moisture for a few seconds and then making contact with the ink rollers before the image is diluted. A good paper plate (there are some) will give more than 5,000 copies. Today it is used primarily for circulars and office forms, and to print a book of any largeness on a 9 x 14 Multilith or Davidson would invite ruinous bindery costs. Multilith manufactures a double size press, but no one is considering a quadruple size or larger. This might be looked into with profit. The plate should not be enlarged, since it would be awkward to inscribe, and the danger

of the entire form being ruined by one misfortune greatly increased. Rather the press should be designed to receive the plates four or eight up. The line of development for typewriter composition devices, and the work of Messrs. Kurzman and Frost and others with plates, argue that it is time to consider a larger press which can make use of the possibilities of the direct-image process while avoiding exaggerated gathering.

Plates other than paper are much in the news. The writer does not have the technical knowledge properly to evaluate these ventures into plastics, dual-metal, interior moistened cylinders, and the like; but any developments which might make it possible for the small plant to buy cheap, pre-sensitized plates which require no surfacing would be welcomed. The super-enthusiast for offset, who believes it to be a sort of cure-all for scholarship's printing problems, always feels a shock when he learns that all present advantages enjoyed by the offset process over letterpress where small run, non-illustrated, books are concerned accrue from economies of composition direct to paper, on the one hand, as against composition to pressproof, on the other. The route from metal composing machine to stone to press is shorter than the one from composing machine to camera to stripping-table to vacuum frame, to processing bath, to press. Anything which can telescope and merge these stages will benefit the consumer. We have noted the camera being merged into the composing machine, and the embryo steps by which platemaking is identified with composition. There remains for later development the device which will combine these ideas, if that be possible. If one contrasts the development of printing machinery with the development if fire-control instruments, say, or telefax, or television, one must conclude that anything is possible.

Binding is going to be a tough nut for any brave new world (small edition version) to crack. The scholar who happens to find himself the editor of a monograph series understandably frets more over bindery charges during his first year than any other costs. He tends to think of binding as being restricted to case-making, casing-in, and stamping. While it is true that practically everything in the bindery can now be done automatically, and in gangs, it is also true that automatic binding machinery is dear, and not likely to be the ornament of the printing presses which do scholarly books, or of the binderies

which take their contracts. The stunned scholar-editor turns to the cheapest printer he can find, ships the sheets to some metropolitan bindery, pays the 50¢ per copy charge with a grimace, and comforts himself with the fact that the binder stores his back numbers "without charge." The fact that any business which gives away space either does not know its own costs (not uncommon in printing), or masks them, does not occur. "Free" storage has a good deal to do with the enormous accumulation of unsold periodicals, and of books which cannot be sold and never will be. Far better to translate this mass of paper into whatever liquid capital it will bring via a distribution sale, or by remainder, the while keeping for future reference a microfilm negative of the material thus disposed of, than to keep hoarding forever what time has proven to be undesired.

It seems doubtful if paper binding will solve any of our problems unless a new policy of issuing monographs and studies as supplements to scholarly periodicals be more generally adopted. This gets into realms which have no business in this piece. But a glance might be given here to the Integral Casemaker.

This is a Dutch machine of which about sixty had been manufactured by last October, most of which were in Sweden. It converts chipboard or binder's board into a semi-flexible one-piece case. The board, of course, must first be coated and printed. Any weight up to 44 points can be accepted, following which scoring, folding, and the gluing down of edges and corners is automatic. Since the blank can be of any quality, and can be readily printed rather than stamped, this casemaker has qualifications which might be of service to small editions, especially since it is said to require little make-ready.[12] The cost of the device is not small; $15,000 plus a royalty of one-tenth of one cent a cover. Of course Mahomet might go to his mountain. The entire subject of printing and binding specialized, non-copyright, scholarly books in Europe is full of interesting possibilities.

We must conclude from all this that we are witnessing the expansion and improvement of substitute processes which

12. Complete details of the Integral Casemaker can be secured from Mr. Rudolf J. Gutmann, The American Integral Corp., 1 Madison Ave., New York 10, N.Y.

nevertheless, for some time to come, will be unable to supplant in quality existing means of printing scholarly books. But in the comparatively short period of twelve years since the publication of Binkley's Report these processes, in particular typewriter composition, have come up with a product substantially better than was obtainable in 1936. From all present signs this rate of improvement bids fair to continue so that by 1954 the purchaser of printing will, when considering his specialized scholarly book or periodical, be able to select one of several adequate methods of production other than letterpress without incurring the ire of his author or resistance from his purchasers.

We have never been able, among the Humanities, to persuade ourselves or our public that there are in effect two classes of scholarly books — the shorter lived, and the permanent — and that it is unnecessary and wasteful that they be similarly produced. Our vocabulary lacks any words by which a Class II, or Grade B, book can be described without seeming to impugn it. With other products, yes, but not books. The mechanics of scholarly self-advancement tend to preclude, to date, the assessing of an assistant professor's knowledge solely by what he writes, whatever the method of printing and binding. A book has more weight than an article; a fat book more than a terse one. That this leads to a good deal of unnecessary publishing, and the padding of what is published, is notorious.

But that which may be supplanted within twenty years, or that which may be written solely for other specialists, may nevertheless be important within its bounds. To the younger scholar it is essential that he have the means of circulating his ideas so that they may be subjected to critical analysis. In any case we are not gods, in that we always know what is truly permanent. In the general, and on the whole praiseworthy, rush to abolish the printing requirement for doctoral dissertations an occasional baby is likely to get tossed out with the bathwater. There is no reason to believe that just because printing costs have risen, all doctoral dissertations have automatically become arid wastes of Teutonic specialization. An articulation of the problem of how to present the material, rather than the replacing of one generalization by its opposite, is what should be made.

A more open attitude toward the mechanics of printing can

with clear conscience be urged. There is a certain resistance to experimentation which can only be compared to the conservatism of a sect. Substitute processes are unlikely to come to anything in our field without, first, a greater willingness to use them, and second, an insistence upon their being used at their best. This will involve some changes in accepted conventions, true; we do not expect the same road speed from a light truck we do from a sedan. A willingness to edit toward the strong points of the substitute processes must emerge. But on no grounds should lower standards be tolerated.

Some letterpress printers say, "Make it possible for me, and my prices will beat anything you can get from a typewriter." Where they mean that the copy should be edited more diligently, we have, of course, no argument. But where they mean that they should be allowed to reduce makeready, or permit liberties to the compositors, or ignore the niceties of lining up, they are wrong. Letterpress will continue indefinitely to put out the best. Our effort should be to improve the new, not to water down the old. But the application of the best to certain kinds of books will have to be eyed more narrowly in the future, particularly when subsidies are involved. The center of gravity must shift a little. Requests for subsidies reveal a certain stubborn adherence to the time-honored, rather than a cheerful hospitality to the new.

In the offices of learned societies the problem is more complicated than with the publishers. Societies rarely can maintain professional editors on full salary, or any salary. The editor's honorarium is usually a token; the glory of working two jobs simultaneously is supposed to be enough. The result is that the editor takes the easiest way with the newest number of his monograph series and bundles it off to one of the diminishing number of letterpress printers willing to do this kind of work. Probably this hurdle cannot be eliminated. But it can be bypassed if we can create typewriter composition houses and offset book printers whose mechanical performance and editorial knowledge is adequate.

The general feeling in this corner is that new processes of considerable worth are on the way. But to wait for perfect machines may be to wait a long time. Among other methods of reducing the cost of specialized scholarly publishing, the one which leads toward cheaper books through greater familiarity with devices and methods admittedly not wholly perfect, is worth a more conspicuous effort.

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This report was lithographed by Edwards Brothers, Inc., Ann Arbor, Michigan. Composition is IBM "Bookface" 12 point for text, and chapter mottoes are Vari-typer DSJ, both reduced 17½ per cent. Footnotes and many tables are "Bookface" with greater reduction. Chapter titles are proofs from metal type, as is the title page and cover.